

**Promoting Integrated Sustainable Waste
Management
Public Private Partnership
(PPP-ISWM)**

Final Evaluation Report

September 2013

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This report presents the viewpoints of an independent evaluator and does not necessarily represent the position of any one of the partner agencies, government, Civil Society Organisations or other partners to the PPP-ISWM global programme.

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List of Acronyms

ADB:	Asian Development Bank
AUSAID:	Australian Development Aid
APRC:	Asia Pacific Regional Center
BSMC	Biratnagar Sub-Metropolitan City
BTOR:	Back to Office Report
CBO:	Community Based Organization
CCODE:	Centre for Community Development Enterprise
CFP:	Country Focal Point
COs:	Country Offices of UNDP
CoP:	Communities of Practice
CSO:	Civil Society Organization
DAC:	Development Assistance Committee
DGIS:	Dutch Ministry of Foreign Affairs, Division for International Cooperation
HH:	Households
IADB:	International American Development Bank
IPLA:	International Partnerships of Local Authorities
IPES:	International Partner for Environmental Sustainability
ISWM:	Integrated Sustainable Waste Management
ISWA:	International Solid Waste Management Association
ISWM:	Integrated Solid Waste Management
GIS:	Geographical Information System
KICG	Knowledge, Innovation and Capacity Group
LCC:	Lilongwe City Council
MCC:	Maseru City Council
M&E	Monitoring and Evaluation
MDG:	Millennium Development Goals
NGO:	Non-Governmental Organization
OECD	Organisation for Economic Co-operation and Development
RF:	Results Framework
PO:	Project Officer
PPP:	Public Private Partnership
PPP-SD:	Public Private Partnership for local Service Delivery
PPP-ISWM:	Public Private Partnership for Integrated Solid Waste Management
SMART:	Specific, Measurable, Appropriate, Realistic, Timely
SME:	Small Medium Enterprise
SURCO:	Association of South and North Organizations
TLO:	Tole Lane Organization
USD:	United States Dollars
UNEG:	United Nations Evaluation Group
UNDP:	United Nations Development Programme
UN Habitat:	United Nations Habitat
WASTE:	Dutch NGO, Advisers on Urban Environment and Development in The Netherlands
WASTE 3R:	WASTE Review

EXECUTIVE SUMMARY

The Public Private Partnership for Integrated Solid Waste Management (PPP-ISWM) is a global programme funded by the Dutch Ministry of Foreign Affairs, Division for International Cooperation (DGIS) from 2009 to 2012 with a total budget of \$3,049,300 USD. The former UNDP's Public-Private Partnerships jointly implemented the programme for Service Delivery (PPPSD) jointly with the Dutch NGO 'WASTE'. The management of the programme was subsequently executed through PPSD, under the UNDP Knowledge Innovation Capacity Group (KICG). The programme's rationale is clearly tied to the fact that waste is a key sector for poverty alleviation and MDG objectives- failure in sustainable, solid waste systems undermines the achievement of other development goals. With this in mind, the intervention aimed to "improve lives and livelihoods of poor people through improving the performance and sustainability of sustainable waste management systems".

This evaluation was commissioned as a donor requirement, in accordance with the principles outlined in the Norms and Standards for Evaluation in the UN System. The intended users of this evaluation report include a range of UNDP units at the global and regional levels, the six UNDP country offices, and UNDP's partner organization WASTE. The scope of the evaluation included a one-year extension period) from 2009 until December 2012 and involved six pilot cities, namely Maseru (Lesotho); Lilongwe (Malawi); Thimphu (Bhutan); Biratnagar, (Nepal); Managua, (Nicaragua), and Arequipa, (Peru).

The evaluation was designed with aspects of learning and accountability in mind, using the standard Development Assistance Committee (DAC) criteria of relevance, effectiveness, efficiency, sustainability, and additionally, the PPPSD criteria on partnerships. A mixed method approach was applied and included the use of two evaluation data-gathering tools. At least three other valuable methods were discounted because of the desk-based, remote nature of the twenty-day evaluation. Primary data was captured from four pilots with focal points from Peru and Lesotho pilots largely unable to participate in the evaluation. The voices of the poor, the private sector, and other development partners were under-represented in the sample of thirty people interviewed, ultimately affecting the rigor of evaluation process.

The findings from the evaluation are interesting. The programme has added value to UNDP's knowledge of PPP-ISWM as a relevant, practical, and pivotal means of reaching at least three Millenium Development Goals (MDG) (poverty reduction, environmental sustainability and global partnerships). Pilots in Nicaragua, Malawi, and Lesotho further deepened the effects created by the PPP-ISWM approach by focusing on gender equality (MDG3). These pilots demonstrated how a practical and common-sense approach to gender equality elevates the standard of project implementation.

The programme design itself signified the vision to draw on UNDP's global presence and partner with agencies such WASTE and UN-Habitat, an agency known for their technical expertise in solid waste management. Country level partnership arrangements were highly relevant to the efficacy and strategic positioning of the programme at the country level, enabling some pilots to access the decision making processes of municipalities alongside community-based civil society partners capable of reaching poor populations. The PPP-ISWM (integrated sustainable waste management) approach has been adapted in innovative ways at the country level, from injecting a strong pro-poor partnership in Nicaragua and Malawi, to anchoring 'collaborative capacities for sustainable waste management' into the partnerships' approach in Bhutan.

By comparison, the programme has not fully harnessed the knowledge and relative experiences of the ISWM private sector. In several pilot countries, the private sector was either nascent (Bhutan and Malawi), unviable (Nepal and Nicaragua), or not adequately recorded in the desk review materials reviewed by the evaluator (Peru and Lesotho), suggesting the need to better understand and facilitate the positioning of the private sector in PPP-ISWM.

A blend of process-related factors influenced the performance of pilot projects to apply and instill the PPP-ISWM approach to their specific country contexts. The need for a 4-6 month pre-implementation phase, the competence and positioning of country focal points (CFPs) internal to UNDP, and the limiting impacts of a 'siloed' project approach all featured prominently as key factors in adapting the PPP-ISWM model to different country contexts. The leadership vision to link downstream ISWM service support with collaborative capacities at the upstream policy level was evident in two pilots. The timing and high quality of capacity action plans was an equally important process, helping to elevate the overall efficacy of the programme and the inputs from KICG.

Several cost efficiency calculations conducted during the evaluation suggest the programme could have achieved a lesser number but higher quality of results with the resources available. In three pilots, delays in setting up the programme structure, project start-up in a two pilots, and an uneven allocation of resources to direct beneficiaries created shortfalls in contributing to results under outcome one, three, and six (related to livelihoods and sustainable ISWM systems). For instance, in at least three pilots the evaluation found a drop in income generation ISWM potential of the poor and vulnerable. There were also cases where pro-poor methods were not adequately used during the project period. In other projects, the critical mass necessary to continue income generation support either waned over a period of time (Malawi and Lesotho) or was significantly undermined by unfavorable shifts in political interests (Nicaragua and Peru).

Although the PPP-ISWM programme structure and operational arrangements incurred 33% of the total cost (2009-2011), UNDP/WASTE missed a vital opportunity to design and use an M&E system (monitoring and evaluation) capable of matching the demands of a data-driven and innovative global programme. Similarly, the ability to manage staff turnover at the global and regional levels compromised on the quality and frequency of technical and programmatic support for two out of the three regions. A weak or implicit understanding of what is within and beyond the control of UNDP at the outcome level has led the programme and some of the pilots to over-estimate what can be realistically achieved in a matter of four years. As a combined effect, the range and depth of limitations in M&E and programmatic rigor found by the evaluation prompted a comprehensive set of recommendations on performance management at the country level and to some extent, across the regional centers.

Despite these shortfalls, 50% of the projects have produced a notable set of results during the programme period. A total of 17,573 beneficiaries have reportedly benefited from the six country level PPP-ISWM services. 83% of the country projects have contributed to a change in the mind-set of government representatives from "*just outsourcing*" ISWM services to viewing partners as integral for solving problems together. Recycling investments such as a PET (Polyethylene terephthalate) bottle crushing plant (Bhutan), compost recycling equipment (Malawi), and the use of low- technology horse-carts (Nicaragua) have materialized from new PPP-ISWM arrangements and services reducing the

volume of solid waste in six target cities.

A few pilots have begun to demonstrate that practical and substantive changes are possible through evidence-based, well-prepared, and well-managed small-scale pilots. Where replication has occurred from leveraging the benefits accrued from long-standing PPP programmes (e.g. under the Nepal decade long PPP Economic Unit), the evaluation was unable to clearly discern what sustainable effects occurred directly from DGIS supported programme. In such cases, unverifiable data has hampered efforts to demonstrate the effective scale-up of pro-poor PPP-ISWM capacities under the DGIS funded period.

A rapid, twenty day, evaluation limited the degree to which sustainability measures could be adequately evaluated across all six country projects. Nonetheless, initial findings indicate 33% of country level project partnerships have contributed to the planning or provision of PPP-ISWM services either through government funding mechanisms or through the work of the informal sector. For instance, the SWM service planning in Bhutan is being methodically institutionalized with a cost recovery strategy to bolster a long-term, integrated SWM service by the government. As a consequence of the PPP-ISWM programme, women's groups in Malawi and Lesotho have emerged and continue to take lead in small-scale recycling initiatives for family incomes. In Nicaragua, ISWM cooperative members are empowered to voice their opinions as service users and rights holders and they too continue to earn a living from collecting waste directly from households.

There are clear examples of highly relevant policy guidance provided through PPP-ISWM, but a closer analysis of what actions took place to assist the uptake of policy support delivered indicates several shortfalls at the country level. Either policy guidance stopped at the activity level (e.g. production of guidance), or it was not aligned with the collaborative capacities of other partners positioned to 'gear up' activities and outputs to the outcome level. Policy support at the global level has also been relevant and potentially strategic in value. However, the evaluation reporting phase underwent a lengthy process of clarifying what specific policy work actually took place, and to what extent the policy support has made a difference to other areas of UNDP work. The evaluation process would have greatly benefited from a) receiving in a timely manner, a clear source of verification to substantiate claims of policy support and, b) documented evidence of global policy achievements in a Final Progress for 2012. In absence of these two sources of information, the evaluability of the programme and its overall policy work, was challenging.

The aptitude to fully understand underlying programming assumptions, the ability to track the utility of knowledge products, and the efficacy of regional linkages to country level plans will further contribute to UNDP/WASTE's capacity to strive toward results in PPP and ISWM. Given the complexities behind any given pilot where the exposure to uncertainties are greater and the behavior of others is more difficult to control at the project level, the evaluation makes the case for rethinking how resources and collaborative capacities are identified, facilitated and optimised to support the programmatic rigor of a multi-country pilot initiative. All in all, lessons contained in the global Project Document remain valid and highly relevant for replication and scale up purposes.

Recommendations arising from the evaluation give particular attention to performance management, multi-disciplinary and collaborative capacities, piloting/scale up, regional support and knowledge management, partnership and contracting arrangements.

RECOMMENDATIONS

The following recommendations are relevant to senior and middle level managers at the regional, global, and country levels. The recommendations are applicable to sustainable waste management, partnerships, and to other technical sectors.

1. Results-Based Management & Performance Management

1.1. Increase the use of M&E results-based budgeting.¹

Allocate a minimum of six percent of the total budget to cover the cost of

- developing a theory of change jointly with stakeholders, at the design phase and reviewed mid-way;
- designing *and* implementing a rigorous M&E system capable of generating disaggregated, reliable and valid data;
- designing and completing surveys and mid-term reviews;
- producing/adapting data-collection templates (qualitative and quantitative);
- improving data analysis and data management skills of relevant teams;

Invest adequately for global evaluations. Desk based meta-evaluation should take place *if* each country has completed an evaluation. Alternatively, lower expectations from a low-cost, globally executed and desk-based evaluation.

The UNDP 'ATLAS' software package is not a substitute for an M&E System. At the design phase of an intervention, seek highly qualified M&E technical advice about costing the M&E components cited above and avoid the tendency short-change the real cost of good M&E practices for piloting and programming.

1.2. Elevate UNDP team performances in outcome level programming.

Introduce performance measures for UNDP staff. Teams and individuals should demonstrate outcome-level programming knowledge and deliverables linked to programmes lasting a minimum of 3 years in duration.

As a minimum measure:

- use at least one indicator to signify the *progress* of gender equity work and an additional indicator to demonstrate the type and level of *change* in services/behavior/budgets/technical or functional capacities;
- use at least one indicator to signify the *progress* in improving the monitoring capacities of target groups (e.g. service monitoring by direct/indirect beneficiaries, monitoring of improved service planning/delivery by government officials);
- use at least one indicator to signify the *quality* and *level* of involvement of, or decisions made, by direct beneficiaries;² if policy work is relevant to the programme/project

¹ If replicated, a global PPP-ISWM programme allocates a minimum of 6% at the global/regional levels and an additional, minimum amount of 6% at the country level. Agencies committed to their results-based philosophy continue to increase their M&E budgets to match the growing demand for reliable and valid data

purpose, use at least one indicator to signify the progress of policy work done by UNDP/partner teams and an additional indicator to demonstrate the level of policy uptake.

1.3 Integrate performance-based disbursement with results-based reporting.

- Link the disbursement of funds with the production of quality-driven deliverables. In turn, link a key deliverable with one indicator at a time for each level of the results chain (i.e. output, outcome and if applicable, impact level).
- Deliverables can be process-driven but must be measurable at the output level. Deliverables must be *verifiable* at the outcome level (i.e. outcome-level observable changes in the actions of people who have been influenced by the delivery or achievement of outputs).
- If changes in environmental conditions are expected at the (country) outcome level, disbursement of funds should be based on presentation of hard data.³

1.4. Provide incentives to evidence-based, high-performing pilots and create a culture of excellence. Use Multi-Donor Trust Funds or core UNDP funds to profile the pilot and its change agents (e.g. funds for social media, U-Tube, additional consultant time for writing up a high profile case study or knowledge product).

1.5 Improve the quality and reliance of data in progress reporting, fact sheets, and case stories to assist data-driven decision-making:

- use data visualization tools and techniques, Excel-based data dashboards, and/or simple Excel-indicator-based tracking sheets;⁴
- Cite both quantitative and qualitative data to validate claims of success and achievement of results;
- Draw in baseline survey data to report on targets achieved on a quarterly, biannual, or annual basis.

2. Multi-Disciplinary Performance & Collaborative Capacities

Deep institutional changes are necessary for UNDP to eliminate its use of the siloed approach⁵. A more robust assessment at the different levels of UNDP is necessary to rectify

² Teams can develop a 'basket of indicators' to keep focus of pro-poor methods used in the interest of poor people themselves. The capacity of poor people to influence decisions on the services delivered to them is only one example.

³ Refer to the guidance in the 'UNDP Handbook of Planning, Monitoring and Evaluation' 2010 to understand what SMART indicators are and how these should be developed and defined according to global M&E standards. Seek further guidance from UNDP regional offices and external agencies to find out more about data and measurement systems related to environmental changes. The development of SMART indicators requires the technical inputs of a person/people highly experienced in M&E, but this person does not have to be an M&E Specialist

⁴ Examples of a 'spider diagram' data dashboards can be found in Bhutan Capacity Assessment 'CA Sheets - Analysis TCC PPP-ISWM 15-12-2010' accessed through KICG, APRC Bangkok. Further guidance on data dashboards can be found through the American Evaluation Association website www.eval.org.

the structures and systems surrounding the continued use of the siloed approach. Within the scope of this assignment, the evaluation makes the following recommendations.

2.1 Create the impetus for collaborative capacities internal and external to UNDP country teams and limit a siloed approach at the design and implementation phase.

Internal to UNDP

- **‘Map-Out’ Collaborative Capacities.** Internal to UNDP teams- map all cluster teams and focal points, be creative about how this map is designed and where it is posted for easy reference (e.g. physically in offices and virtually on e-systems).
- **Harness multi-disciplinary knowledge and skills. Find ways to** hold senior and middle managers accountable for fostering and efficiently facilitating highly focused, ‘multi-disciplinary’ knowledge-exchange⁵. The knowledge exchange creates a physical space for teams to collaborate with a clear objective and deliverable in mind:
 - multi-disciplinary knowledge-exchanges can be organised for different reasons including a) to draw gender, M&E and policy expertise together with technical teams and at critical points (e.g. design phase and when progress is slower than planned) and b) to ensure that at least two/three people are focused on checking the quality and rate of follow-through at the outcome level (in technical, policy and/or cross-cutting areas);
 - the techniques used and results harnessed from these ‘knowledge exchanges’ can be improved over time, through trial and error. If sharply focused and well prepared, knowledge exchanges should be short in duration (1-2 hours maximum), motivational, and results-oriented (i.e. instead of only process-oriented);

Ensure claims about ‘added-value’ from collaborative capacities materialize in concrete ways. When global and regional policy/advocacy support is factored into the costs of a global programme, demarcate the deliverable(s) expected from the global level.

External to UNDP

- **‘Map-Out’ Collaborative Capacities.** External to UNDP- ‘map out’ and circulate the range and type of partners and change agents necessary for achieving outcome level changes. The perspectives and experiences of the ISWM private sector should feed into and be informed by PPP-ISWM collaborative analysis. The ‘collaborative capacities map’ should be coherently aligned to a) the country programme results framework/UNDAF, b) the utility of capacity assessment plans, c) the decision to develop knowledge products, and d) the production of any fact sheets/case stories.

⁵ In the context of UNDP, a siloed approach refers to lack of coordination across/between practice, organizational hierarchies

⁶ In this evaluation, senior managers include director level and P5 level individuals and middle level managers include P4 level advisers and focal points

Make use of social network techniques and contribution analysis tools such as ‘relationship mapping’ and ‘outcome mapping’ in order to identify and determine the type of collaborative capacities necessary to take forward⁷:

- data-driven policy follow-up at the outcome level;
- evidence-based replication or scale-up of public sector services.

3. Piloting, Replication and Scale-up

3.1 Make use of lessons. In cases where well researched, articulated and relevant lessons have been documented in a global or regional design document:

- Request country teams to select which lessons will be applied to their country context.
- Lessons based on hard evidence are considered to be ‘data-driven’. Use these lessons to guide or substantiate a) operational and programmatic decision-making, b) inform the production of knowledge products, and c) adjust resources expended on facilitating collaborative capacities.
- Monitor and analyze the utility of these lessons at the UNDP country office level.

3.2 Extend the planning cycle for piloting or a new initiative. Inject a 4-6 month pre-implementation phase prior to the full roll-out of the initiative and use the added time to:

- jointly chart the theory of change (ToC) with country-level partners to create collaboration for the change process;⁸
- jointly identify a process indicator to signify the transition from pilot to replication and scale-up (but only if the programme timeline permits);
- thoroughly assess the risk of applying the National Implementation Model (NIM) in low capacity settings and/or in short project timelines. Substantiate the decision to forgo NIM based on the results from the risk assessment;
- Identify preliminary quality assurance measures for an M&E system and procurement procedures (based on the findings from NIM risk assessment).

4. Knowledge Management at UNDP Regional Level

The following set of recommendations is specific to regional centers tasked with facilitating knowledge management practices.

- Conduct a ‘stock-take’ of knowledge products. Disaggregate, monitor, and assess the utility of key knowledge products used at the country level. Use the evidence to make decisions on the allocation of human resources and funding.
- Invest in fewer but higher quality knowledge products, including fact sheets and case stories.
- The efficient retrieval of high quality practical products is more likely to motivate individuals to perform better. Copy a web-link onto fact-sheets for users to retrieve a sample of very high quality relevant materials (e.g. project document, survey

⁷ Further guidance on ‘Outcome Mapping’ and ‘relational mapping’ can be found through www.outcomemapping.ca/resource.php?id.

⁸DFID guidance is current and comprehensive: <https://www.gov.uk/.../dfid-research-review-of-the-use-of-theory-of-change>

report, cost-recovery strategy, data-driven quarterly progress report, capacity assessment plan, adapted PPP-ISWM model).

Capture unexpected/unintended pilot experiences and facilitate learning from higher and lower performing initiatives⁹:

- from Nepal and Nicaragua- to understand the complexities of pursuing a pro-poor, gender informed partnership approach in integrated sustainable waste management;
- from Malawi and Nepal- to reveal the added-value of inclusive financial packages and business planning as well as the positive and unintended impact of the private sector;
- from Lesotho, Nepal, Nicaragua and Bhutan- to highlight what worked and what didn't work in UNDP efforts to allocate resources between direct beneficiaries (poorest section of population), and indirect beneficiaries (e.g. government officials and departments);
- from Bhutan and Nicaragua- to showcase how collaborative capacities have been effectively assessed, planned, and facilitated at the organizational and institutional levels.

5. Contracting with Partners and Service Providers

- Contract agreements between service providers and UNDP should be made available for evaluation purposes.
- In contract negotiations with technical service providers, be explicit about the scope and justifications for limiting or extending their involvement in country and regional level monitoring and commissioned evaluations.
- In contract agreements, specify communication and reporting protocols at the country office and regional level in order to avoid a conflict of interest (e.g. reporting inequitable practices and unclear resource expenditure).

⁹ Successful pro-poor approaches from Nicaragua are already well documented. Capacity informed PPP in ISWM from Bhutan is also well documented by the UNDP Asia Pacific Regional Center in Bangkok

SECTION 1: INTRODUCTION

- 1.1 The PPP-ISWM initiative is a 4-year global programme, jointly implemented by the UNDP Public-Private Partnerships for Service Delivery (PPPSD) placed under KICG, in collaboration with the Dutch NGO WASTE. PPPSD supports developing countries to create a conducive environment for partnerships to develop in an effort to tackle the problem of people's lack of access to (basic) services such as water, sanitation, and energy. WASTE specializes in sustainable, waste management, and the sanitation sector; working through a global network of locally based partners and NGOs.
- 1.2 The rationale for the project is based on a need to expand UNDP's experience of applying public, private partnerships to the sustainable waste management sector. Solid waste is a key sector for poverty alleviation. A failure in sustainable waste systems impacts significantly on other development goals including health, education, and the environment¹⁰. Solid waste affects poor populations disproportionately; they often live in congested areas, with the least amount of investments in infrastructure, access to safe water, and electricity.
- 1.3 The programme is formulated under the framework of the Millennium Development Goals (MDGs) under MDG 1 and 7.¹¹ The design of the PPP-ISWM programme was based on the findings from the Division of International Cooperation (DGIS) funded feasibility study conducted in 2003¹². Sustainable waste management affords implementing partners with tangible and practical solutions to common problems, providing a valuable testing ground for experimentation and new developmental approaches for service delivery through PPP approaches.
- 1.4 In 2007, the Dutch Ministry of Foreign Affairs, DGIS awarded a grant of \$3,049,300 USD to UNDP to manage the overall implementation of the PPP-ISWM programme. A one year extension period afforded UNDP additional time to establish the programme management structure across three regional center namely in Asia, Africa, and Latin America and allowed them to select the pilot countries prior to the commencement of activities in 2009.
- 1.5 The goal of the PPP-ISWM programme is stated in the Project Design Document (Pro Doc) as "improve lives and livelihoods of poor people in [six developing cities] through improving the performance and sustainability of sustainable waste management systems". Table 1 below shows the outcomes and outputs presented in the results framework.
- 1.6 A partnership arrangement between UNDP and WASTE led to a delineation of responsibilities. UNDP (PPPSD) had oversight of programme and financial management, reporting to DGIS, facilitation of UN partnerships, and some technical back-stopping through its regional offices. WASTE provided the technical and content management of the SWM activities, including the field-testing of PPP-ISWM materials to six selected pilot countries drawn from each region of Latin America, Africa, and Asia. SURCO and CLC partners¹³ were co-opted to facilitate learning events and support the orientation phase and monitoring of country level partnerships.

¹⁰ PPP-ISWM Pro Doc Paper page 8

¹¹ MDG 1: Eradicate extreme poverty and hunger, MDG 7 Environmental Sustainability

¹² Interview findings with WASTE team, August 2013

¹³ Association of South and North Organisations (SURCO) and Collaborative Learning Courses (CLC)

Table 1 PPP-ISWM result statements (2009-2012) (directly copied from the introduction section of UNDP PPPSD progress report, 2009).

1	<p>Outcome: The programme starts smoothly; monitoring, planning and reporting infrastructure is in place; public, private and civil society actors form partnerships and propose projects that work in support of the MDGs and improve lives and livelihoods of poor people.</p> <p>Output: A functioning programme structure</p>
2	<p>Outcome: PPP training materials in French, Spanish, English.</p> <p>Outputs: Six to ten local authorities, five to 30 NGOs, and an estimated 10 to 15 private companies and national ministries in five to ten poor countries will have had the opportunity to have their staff and officials trained in process and substance of integrated sustainable waste management, giving them a higher level of sectoral and governance capacities.</p>
3	<p>Outcome: New or strengthened sustainable waste, recycling, and related activities, and the livelihoods associated with them, are operating.</p> <p>Outputs: Partnerships set up and active in seven municipalities.</p>
4	<p>Outcome: Finding good and relevant sustainable waste information useful for poor communities and cities municipalities in the South is easier and the information itself is more accessible.</p> <p>Outputs: Knowledge products, websites, content.</p>
5	<p>Outcome: The partnerships set up and operate their projects and earn income, provide service, sell commodities or supplies, etc. Local authorities improve their ability to facilitate and work with PPPs. Key projects in sustainable waste management show that solutions are possible.</p> <p>Outputs: Financial packages prepared for six to seven partnership projects.</p>
6	<p>Outcome: Better sustainable waste practice at local level within and beyond the host municipalities.</p> <p>Outputs: Knowledge and dissemination products.</p>

SECTION 2: EVALUATION PURPOSE, SCOPE, AND OBJECTIVES

EVALUATION PURPOSE AND ETHICS

- 2.1 This evaluation is commissioned as a donor requirement per UNDP's evaluation rules and guidelines. UNDP offices involved in the programme and the partner WASTE, will use the evaluation report and findings to improve the future design and implementation efforts related to PPP and sustainable waste management.
- 2.2 This evaluation was conducted in accordance with the principles outlined in both Norms and Standards for Evaluation in the UN System by the United Nations Evaluation Group (UNEG) and by the UNEG 'Ethical Guidelines for Evaluation'.
- 2.3 The evaluation combines aspects of learning and accountability. Accountability focuses on the actual results and organizational performance based on the use of available resources, while the learning aspects of the evaluation will contribute to using lessons for subsequent PPP-ISWM projects and programmes.

EVALUATION SCOPE

- 2.4 The scope of the evaluation includes a no-cost, one-year extension period agreed by DGIS. The programme design phase took place during 2007 and one-two years later in August 2009, the programme began its implementation phase in respective countries, which continues until July 2013.
- 2.5 The evaluation aims to cover all aspects of the programme. This includes: an assessment of the results achieved by July 2013, the challenges and opportunities encountered, the efficiency and effectiveness of the programme approach, the strategies/methods applied, and the partnerships developed. Attention is also given to adjustments made from the design phase through to programme completion and the degree to which project work has continued beyond the project period.
- 2.6 The evaluation included six cities, each based in six different countries; Maseru, Lesotho; Lilongwe, Malawi; Thimphu, Bhutan; Biratnagar, Nepal; Managua, Nicaragua and Arequipa, Peru. A total of 30 people (both male and female) were interviewed through remote Skype facility and telephone. The purposive sample comprised of 60% from UNDP/UN Habitat CFP/WASTE, 6% from the private sector, 16 % from informal sector and 20% from the Government. A list of interviewees can be found in Annex 1.

EVALUATION OBJECTIVES

- 2.7 The overall objective of the evaluation is to assess the performance of the PPP-ISWM programme in achieving the planned outputs stated in the Results Framework. This evaluation draws upon DGIS, UNEG, and UNDP good-practice evaluation guidelines. A full copy of the evaluation objectives can be found in Annex 2.

SECTION 3: EVALUATION METHODOLOGY

METHODOLOGICAL APPROACH

The following section explains the methods used to capture and analyse information gathered during the evaluation period.

Inception Phase

- 3.1 Given the multi-level complexity of the PPP-ISWM programme, with its focus on the global and regional levels, as well as six implementing countries, the evaluation began with an inception phase. This phase aimed to fine-tune the breadth of the evaluation and ensure reporting expectations were realistic for a twenty-day evaluation assignment. While attempts were made to conduct a scoping exercise to refine the evaluation questions, time zone differences and the unavailability of CFPs prevented the conduct of a group scoping session. Two regional UNDP staff and one WASTE staff member¹⁴ debriefed the evaluator. In total, one out of six country focal points provided feedback on the evaluation objectives. However, all country focal point, management, and key partners were involved in the design of the Terms of Reference (ToR). The inception phase comprised a desk-review, the design of two data collection tools, and the design of the evaluation sub-questions. A copy of the sub-questions can be found in Appendix 3.

Desk Review

- 3.2 The evaluation makes use of the standard DAC evaluation criteria of relevance, efficiency and effectiveness, and sustainability. The nature of the programme prompted the use of the third component, which is partnership.

One to one country debrief sessions and secondary data gathering

- 3.3 The use of one to one debrief sessions with CFPs was designed to be a vital component of the inception phase. These sessions were meant to a) supplement the desk review process, b) assist the evaluator to understand the context in which the country pilot operated, c) discuss best ways to access 'hard to reach' target groups, such as waste pickers and laborers, and d) estimate the range of the SWM private sector operating in each country. Of the six pilots, only Bhutan and Malawi CFPs were able to provide country specific debrief sessions to the consultant.
- 3.4 The design of the evaluation is based on qualitative techniques and where possible, supplemented with quantitative analysis. A mixed methods approach was used to capture, analyse, and triangulate information. Semi-structured interviews enabled interviewees to elaborate on claims of success and challenges experienced throughout the programme period¹⁵. Following the desk review, two data gathering tools were designed to help organize, verify, and plug data gaps, as well as to capture information that may have otherwise been submerged or implicit in existing documents.

Stakeholder contact list, purposive sampling and survey options

- 3.5 A global and country level contact list was unavailable for the evaluation and gradually developed by the evaluator. Fact sheets and short stories were available for most pilot countries and therefore used as an additional source of material to determine UNDP data reliability

¹⁴ The agency contracted to provide technical services to the pilot counties

¹⁵ A copy of the semi-structured questionnaire is given in Annex 3

LIMITATIONS TO THE EVALUATION METHODOLOGY

- 3.6 The scope and methods used in the evaluation were influenced by the remote and desk-based nature of this twenty-day evaluation assignment. Site visits and direct, independent observation of services provided in real-life settings was clearly unfeasible. Despite a concerted effort, the voice of the poor, informal sector workers, and service users was significantly underrepresented. In Nepal, a civil society advocate of the waste pickers was interviewed but in Bhutan the evaluator reversed the decision to bring a small sample of laborers into the UNDP office for a remote-based interview. The impact of selection bias and the degree of unease it would cause laborers made this option methodologically unreliable and inappropriate. Without access to direct beneficiaries, a survey to capture satisfaction levels and changes to people's livelihoods was impossible. The use of a focus group discussion method was equally impractical to administer from a remote base and therefore not applied.
- 3.7 The perspective of the private sector and other in-country development partners was also underrepresented. Time constraints prevented interviews with the latter group. Of the four pilot countries directly involved in this evaluation, three pilots had established private sector partnerships. Of this figure, two private sector representatives were finally interviewed through the efforts of CFPs (Bhutan and Malawi)¹⁶. These factors curtailed the depth of information gathered and hampered an analysis of private sector viability from the lens of the private sector itself.
- 3.8 The nature of this evaluation prompted a heavier reliance on UNDP to coordinate interviews at the country level. In this regard, the inception and data-gathering process faced a number of challenges, partly related to the closure of the programme several months prior to the evaluation. Other than one interview with a former CFP in Lesotho,¹⁷ non-participation of Lesotho and Peru pilots prevented primary data collection¹⁸. The coordination of CFP country level debrief sessions although necessary, was very time-consuming because of the inaccessibility of some CFPs. 33% of pilot projects participated in debrief sessions and 16% of pilot projects fed into the scoping exercise to fine tune evaluation objectives and questions.
- 3.9 A contact list of partners per country level did not exist within the programme resource files and therefore proved to be time-consuming to compile given the short timeline of the evaluation. The dispersed nature of (former) country focal points and partners further impeded the process and efficiency of conducting any form of purposive sampling. A short evaluation timeline also meant many partners were not available during the data-gathering phase.

¹⁶ Language differences prevented interviews with the informal sector in Nicaragua. However the CFP ensured prompt translation of questionnaire responses from Habitar

¹⁷ Multiple efforts made by the evaluator and UNDP APRC to access former CFPs or interview current UNDP staff familiar with the pilot work

¹⁸ Despite great efforts to coordinate interviews on behalf of the consultant, the WASTE team were unable to get counterparts from the Peru municipality to participate in the interviews during the two-weeks data gathering period. UNDP Peru Country Office were largely unresponsive to calls for assistance during the inception phase

- 3.10 Evaluations and/or mid-term reviews were not conducted for all country projects, further rendering it difficult to conduct an desk-based evaluation in twenty days. Expectations from remained high in spite of the limitations and low-cost of the evaluation.
- 3.11 The global results framework contained in the Pro Doc is not based on the standard UNDP format. Indicators used at the outcome and output level were not logically /vertically aligned and instead clustered together at the goal level. Activities were erroneously stated as outputs and multiple results statements were compounded, rendering it difficult to evaluate the achievement of results¹⁹.

¹⁹ As represented in 'UNDP Handbook of Monitoring and Evaluation' 2010 and other OEDC definitions

SECTION 4: EVALUATION FINDINGS

- 1 The following section explains the findings in relation to the evaluation questions present in the evaluation ToR. The questions are clustered under the four DAC criteria and partnerships. The findings provide additional attention to emerging patterns and opportunities for learning, particularly where performance has not materialized into verifiable results. The holistic yet duplicative nature of some evaluation questions has prompted a certain degree of repetition in this section. The report has not retained the order of questions as they have been represented in the ToR. A full copy of the evaluation questions can be found in the Evaluation ToR in Annex 2.

RELEVANCE

To what extent and in which way has the PPP-ISWM country level project initiatives been relevant to the collective priorities of local level MDG acceleration notably MDG 1 and 7 and 9.

Has PPP-ISWM been able to adapt its programming to the changing context to address country level project priority needs? And In this programme period, how have UNDP and WASTE positioned themselves strategically?

- 2 This section provides an assessment on how countries have linked pilot objectives to address specific country level MDGs. An analysis of adaptability at the global, regional, and country levels has shed light on several influencing factors affecting the relevance and strategic position of the programme. Particular consideration is given to the relevance of UNDP's global programme arrangements, the coordination of technical services, the value of joint UN arrangements, programmatic linkages, and country specific model adjustments.

Contribution to MDGs

- 3 The programme itself and all six countries involved have collectively added value to UNDP's knowledge and recognition of PPP-ISWM as a relevant, practical, and pivotal means of reaching MDG 1, 3, 7, and 8 at the country level. A sample of three out of the six country level Pro Doc results frameworks reviewed demonstrated a clear alignment with national objectives of poverty reduction (MDG1), environmental sustainability (MDG7), and partnerships (MDG8)²⁰ (Bhutan and Nicaragua produced the most coherent results frameworks). Moreover, three country projects used gender equality and empowerment (MDG 3) to further enhance the depth of change regarding poverty reduction and the promotion of 'green jobs'. Nicaragua, Lesotho, and Malawi all drew on CSO partner expertise to address gender relations as part of a concerted approach to reduce unemployment rates and increase environmental awareness through targeted campaigns.
- 4 Following -the turbulence from the Maoist unrest, Nepal faced a sharp drop in the number of private sector vendors operating in the country. For instance, a sharp drop in carpet factories from 200 to 10 during the post-conflict period, provided an opportunity for the UNDP country office to *"use PPP-ISWM as a trigger for job creation"*.²¹ Further still, by making a programmatic link with the UNDAF goals, the Bhutan and Nicaragua projects accelerated the pace of meeting country level MDGs as 'one UN country programme'. All in all, the programme demonstrates linkages between specific country pilot objectives and contributions to relevant country level MDG indicators.

²⁰ In reference to country level pro docs of Nicaragua and Bhutan

²¹ Interview with UNDP Nepal Deputy Country Representative

Adapting to the changing context at the global and regional levels

- 5 At the global and regional levels, the ability to adapt the programme implementation to needs and changing circumstances varied from time to time. While arranging a no-cost one and a half year extension period for the programme was useful for some projects, such as Peru, which was facing project start-up setbacks, it also coincided with high UNDP staff turnover at the regional and global levels. Three out of five key positions were rotated or never filled. This factor had the effect of breaking the continuity of regional knowledge management support, as well as limiting the coordination of technical assistance with WASTE. In Peru and Lesotho particularly, WASTE partner teams were not utilized early enough to support the project 'kick-start' process, hindering the general progress of outcomes.²² The departure of two qualified ISWM UNDP New York based consultants in 2010 was cited as a critical factor in the reduction of technical and programmatic support provided at the global level.
- 6 Following the closure of the UNDP South Africa regional hub, the Asia Pacific Regional Center (APRC) was selected to coordinate the global programme in early 2012. While the evaluation found a high volume and quality of technical support provided and knowledge management products developed and disseminated, APRC regional support was unable to singularly substitute the regional presence and partnership coordination lost at the Africa and Latin America regional levels. The evaluation itself faced difficulties in accessing key local stakeholders for the data-gathering process in those two regions.
- 7 A three-day learning event delivered to all six countries, took place at different months of the first year to facilitate the process of model adaptation. At times the learning delivered through the WASTE network of partners corresponded very well with UNDP regional missions and technical support. WASTE and UNDP technical support was provided on a needs basis and coordinated from the regional centers. However, at times the ability to rapidly identify and deploy technical specialists such as lawyers and gender specialists, compromised the technical support response rate provided to the pilot countries. Moreover, the absence of concise quantitative data to discern the rate, quality, and type of WASTE (partner) technical services delivered to pilot countries suggests a gap in WASTE's own monitoring system.
- 8 The experiences cited above indicate that a trial by error approach necessitates adequate resourcing at the regional level to enable continuity at the country level. The likelihood that pilot work generates a degree of uncertainty and error further substantiates the relevance of contingency and planning and evidence-based decision making for future ventures.

Adapting to changing context: Country level

9. The pilot projects have been adapted and documented in interesting and different ways to ensure the relevance of the PPP-ISWM model to the local context. 33% of pilots (i.e. two, namely Bhutan and Nicaragua) documented the process of adaptation thoroughly permitting lessons and good practices to be drawn from their experiences. Some pilots have focused more at the grassroot levels to reach *and* empower poor people in their efforts to earn an income from the PPP-ISWM (e.g. Nicaragua, Malawi and Lesotho), while the Bhutan pilot is noteworthy for undertaking a collaborative capacities stance in its partnership work with the municipality. 10. Malawi and Lesotho arranged useful joint programming agreements with UN Habitat, an agency known for its experience of managing SWM portfolios. In turn, projects in Nicaragua and Bhutan have benefited from UNDP country office leadership supportive of collaborative capacities internal and external to UNDP. In

²² This oversight is discussed in more detail under process implementation and efficiency

both cases notable efforts were made to set up effective structures and processes to help generate evidence-based policy support from the delivery of 'downstream' services. By contrast, the Malawi pilot was considered "too downstream" to be of strategic relevance to the national UNDP mandate, limiting the quality of collaboration from within UNDP.. In the case of Nepal, the pilot attracted less staff time investment and cross sectoral collaboration in preference of overseeing larger and higher profile PPP grants across the country. In such cases, the PPP-ISWM model has not been adapted as originally envisaged by country pilots

The case of the Bhutan pilot

11. The decision to prepare for project implementation four months prior to the actual start-up proved highly relevant and therefore effective in launching the Bhutan pilot as a collaborative venture. *Shared* ownership of, and shared trust, in the PPP-ISWM concept was nurtured to grow gradually instead of being forced into a 'fast track' implementation mode. An extra injection of time allowed for multiple and iterative dialogue sessions, as well as the time to deal with delays and the ability to take corrective action. The first 6-12 months of the projects were largely invested in harnessing the collaborative spirit in preparation for joint work to take place.²³
12. Although the actual PPP approach took place later than initially planned, the timing of the capacity assessment significantly contributed to embedding the value of the ISWM model. The resultant capacity development strategy was the fruition of six to eight months of labor-intensive partnership assistance, external in-country (capacity development) consultancy assistance, and discussions about the intended results. Questions on capacity gaps and strengths made more sense to municipality and ministry level counterparts than if the assessment had been done before PPP concepts had time to 'sink in'. This way of doing business is highly relevant to the nature of the programme, which is itself based on learning by doing for improved performance.

Although later than planned, the relevance and timing of the capacity assessment contributed significantly to embedding the concept and value of the ISWM model in to the municipality

The case of the Nicaragua pilot

13. Other country projects such as Nicaragua, were unable to unpack some of the concepts and approaches contained in the PPP approaches and considered them "too prescriptive... missing the necessary pro-poor component"²⁴. Effectively identifying the gaps in the model prompted this country pilot to profile the empowerment of the poor as the bedrock to its PPP-ISWM approach. The partnership arrangement with the CSO 'Habitat' enabled the pilot to use participatory approaches and gender analysis with an agency reputed for its grassroots community mobilization work. By so doing, the pilot gave as much, if not more capacity development support to the CSO and cooperative members drawn from poor communities, as it did to the municipality itself.
14. Any further attempts to replicate the pro-poor inclusive approach used in Nicaragua should therefore comprehend the distribution of project time and resources required for each of the partners concerned. The Nicaragua pilot has been well documented for its approach of

Leadership vision on PPP-ISWM, the optimal use of grassroots partners and the humility to understand what UNDP can and cannot influence at the outcome level positively contributed to adapting the pilot to the local context

²³ Relevance process cited in documents cited in Annex 6 under References point 24, 25, 26

²⁴ Interview with Nicaragua Country Representative

working with cooperative members²⁵.

The case of Nepal and Peru

- 15 Following Nepal's period of conflict and civil unrest, the country faced a sharp reduction in the overall size of the private sector. A review of country and APRC knowledge products cites great potential for scale up of the PPP-ISWM²⁶. There is a of wealth collaborative capacities already existing in the country and indeed, large scale-up capacities of ADB, AUSAID, UNV and GIZ²⁷ were leveraged by the ten year long PPPEU UNDP managed programme²⁸. This country setting made Nepal a highly relevant country case for testing PPP in the context of ISWM.
16. Yet, the evaluation sourced fewer relevant documents from the Nepal (and Peru) pilot projects to discern what methods were used to adapt or scale-up PPP-ISWM in and Biratnagar and Arequipa respectively²⁹. A copy of the Nepal PPP-ISWM approach and methods used during 2009-2012 is sparse and unclear rendering it difficult to evaluate the relevance of and effects from project work conducted in the last three years of the programme period (2010-2012)³⁰. Mission reports from APRC cite a long list of actions necessary to a) broker relevant partnerships in three different municipalities, b) follow up on highly relevant ISWM systems development support at the municipality level, and c) harness the collaborative capacities of civil society actors advocating on behalf of the most vulnerable sections of the population.³¹ The evaluation was unable to capture or decipher why the project team or country counterparts were unable to follow up with the necessary measures.

Positioning of the PPP-ISWM

- 14 Feedback from the Nicaragua country focal point suggests that the positioning of PPP-ISWM worked better under the Economic Development Unit where there is understanding of the private sector, rather than under the Environment Unit. Whereas in Bhutan, the ability of the Environment Programme Officer to work across sectors was more relevant as a conduit for building team collaboration internal to UNDP, as well as fostering cooperation with stakeholder partners external to it. PPP-ISWM was as relevant to the work of the Bhutan UNDP M&E Unit and the Ministry of Human Settlement and Planning as it was to the UNDP

²⁵ Switching Managua On' Connecting informal settlements to the formal city through house collections, Vol. 25 # 1 April 2013, Maria Jose Zapata Campos and Patrik Zapata

²⁶ Documents include a) IMPACT STUDY OF PPP PROJECTS" Centre for Economic Development and Administration (CEDA) UNDP (NEP/04/001) Tribhuvan University, Kirtipur, Kathmandu, Nepal December, 2012, b) Story or an Institution, November 2012, author uncited and c)

²⁷ The absence of a management information system (MIS) was known to hamper the optimal use of an existing tariff setting structure. The APRC Mission Report²⁷ urged the country project to conduct and use research to inform tariff setting and a monitoring plan. Yet, there appears to be limited evidence of what methods were used to encourage collaborative work n improve ISWM systems

²⁷ The Peru Pilot did not have a contact person for the evaluator to interview and source a range of relevant documentation from a very short progress report from Nepal was shared as a sample document. In comparison to the other pilot countries, there was a limited range of documents shared in time, to explain methods/tools used, lessons drawn and risk mitigation undertaken.

²⁷ A PPP diagram was presented in the Nepal Pro Doc but a model/approach in context of ISWM is less evident. The documents 'capacity development stories from the field', issue 1, cites projected results for 2010 and the document was produced in 2009. A baseline report was requested by the evaluator, but not received from the country office.

²⁷ BTOR 17th October 2012

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³¹ BTOR 17th October 2012

Environment Unit.

15. Both Lesotho and Malawi CFPs were based in UN-HABITAT offices, a process which proved to be highly relevant for those country contexts. The UN-HABITAT track record in managing portfolios on sustainable waste management and its past experiences of working close to the community level with CSOs, helped fast-track the identification of NGOs as partners to the project. In Nicaragua and Malawi, WASTE partner network members SURCO, swiftly positioned those projects at the grassroots level, where community outreach experience with low-income motivated females and males was crucial. Local NGOs CCODE and Habitar, also helped direct the focus of the pilot project towards an inclusive approach. Both NGOs leveraged the trust and rapport gained from previous poverty reduction/sustainable waste management project work (e.g. WASTE project ISSUE II) and linked it to the rationale of PPP- ISWM.
16. Pilot experiences in Nepal revealed the downside of UNDP's siloed approach to programming. One UNDP team member conducted the majority of the PPP-ISWM implementation and partnership development work while the CFP held a purely quality assurance role. While reasonable, this pilot arrangement did not work because there were few structures and knowledge management practices in place to foster internal UNDP multi-disciplinary teamwork. In the case of Nepal, the necessary processes to draw together expertise from policy development, gender, M&E, governance and PPEU were less clear than in some of the other projects. Furthermore, a passive or downgraded role in brokering crucial partnerships in a timely manner stifled the degree to which the municipality and partners understood PPP-ISWM as a relevant vehicle to increase their performance profile, *"We realized only half way into the project that the private and [informal] sector was really useful to us in sustainable waste management... the regional person (X) helped us understand this better"*.³²

UNDP's siloed approach at the different programme level continues to curtail the progress and achievement of results envisaged
17. In summary, the programme has generated valuable opportunities for adapting PPP-ISWM to different country contexts in innovative ways and for contributing to relevant MDG goals. A trial-by-error approach applied in pilot countries such as Bhutan, Nicaragua, Malawi and Lesotho helped foster highly relevant collaborative capacities and strategic pilot positioning. In turn, a siloed approach to programming and missed opportunities to clearly document the PPP-ISWM adaptation/replication process during DGIS funded period has undermined the efforts of other initiatives. An inconsistency in UNDP programmatic support at the global and regional levels has further curtailed the degree to which all pilots were able to draw on the global advantages offered by UNDP and WASTE.

³² Interview with Nepalese Stakeholder, August 2012

IMPLEMENTATION PROCESS AND EFFICIENCY

- Could the global, regional and/or local level activities and outputs have been delivered with fewer resources without reducing their quality and quantity?
- Has the global PPP-ISWMN programme team effectively addressed country-level demands for advisory and technical support?
- How have UNDP country offices and UNDP global and WASTE been communicating the achieved results, including the design, dissemination of case studies as tools to showcase results and to illustrate the mechanisms by which outputs lead to specified outcomes
- Has the Pro Doc and the outputs been delivered in a timely manner?

1. Process-oriented development is important to UNDP. The manner in which the change process is fostered, managed, and facilitated is linked to the results produced from programme contributions. In light of this and in response to the evaluation questions, this section evaluates aspects of programme monitoring and evaluation; global-level partnerships/programme/policy support arrangements; the value of organisational preparedness/co-funding measures and ending with an analysis of NIM and its relative benefits in this pilot.

2. The section begins with an analysis of funds expended and achievements attained by the programme. The evaluator attempted to capture DGIS's perspective on a wide range of matters, including the quality and adequacy of narrative and financial reporting. Unfortunately, the DGIS focal point was unavailable at the time of the data-gathering and evaluation reporting phase. The following set of findings is partly determined by the availability of information to this evaluation. More specifically:

- a. An explanation on variances between planned and actual expenditure was missing in Annual Progress Reports of 2009, 2010, and 2011;
- b. The evaluation makes use of cumulative and actual expenditure figures 2009 to 2011. The actual total expenditure for 2012 was unavailable and the 2012 Annual Progress Report had not been written at the time of conducting the evaluation;
- c. Expenditure tables contained in the progress reports were not distinguished by agency levels (i.e. UNDP/WASTE) or results (i.e. but by activity level) rendering it somewhat difficult to assess 'best use of resources at the agency level
- d. A rapid twenty-day global evaluation is unlikely to capture the country level nuances and details necessary to make informed judgments on efficiency levels.

3. While expenditure reporting based on *processes* (rather than results) is common practice, this format of reporting hinders a more rigorous analysis of whether investments made at the earlier phase of the initiative (e.g. programme management) contributed to greater levels of effectiveness (e.g. institutionalizing ISWM method within PPP). With these points in mind and in reference to Table 2 below, this evaluation is able to make the following points:

- a. The large volume of knowledge products and dissemination approaches applied, produced and circulated from APRC/WASTE is highly cost efficient at 1% of the total programme costs. Interview findings suggest this figure masks the true cost and time required to populate knowledge through (new) social media and UNDP TeamWorks. During the pilot period, the regional PPPSD in APRC largely managed the social media communications outreach efforts demands of the pilot. If replication of PPP-ISWM is planned in the future, closer attention should be given to

the knowledge management, communication, outreach and technical capacity of regional and country level offices.

Table 2 Analysis of cumulative expenditure 2009- 2011

Year	(A) Actual 2011	(B) Projected 2012	(C) Planned 4 years	% of Total Actual 2011	Variance C-(A+B)
Programme Management at PPPSD and WASTE	729,989	100,000	682,961	33%	-147,028
Institutionalizing ISWM as methodology within PPP	221,581	63,665	501,256	10%	216,010
Strengthening ISWM and Practitioner Networks	324,396	45,731	156,642	15%	-213,485
Knowledge Management	365,149	42,417	238,096	17%	-169,470
Investment Award for PPP SW Partnership Project	522,797	65,900	1,125,314	24%	53,617
Documentation and Dissemination	28,207	25,012	131,580	1%	78,361
TOTAL EXPENDITURE	2,192,119	342,725	2,835,849	100%	301,005

- b. UNDP and WASTE spent 17% of the total 2009-2011 costs on generating and sharing materials for knowledge management purposes. Questions remain as to whether or not this figure signifies value for money in light of the fact that only two out of six country projects (Bhutan and Nicaragua) led to a thoroughly researched and comprehensively written case study. Shorter and simpler fact sheets were written for the remaining five countries.³³ All knowledge products were extensively circulated via twitter, regional events, UNDP Communities of Practice, web portal, and a multitude of meetings/workshops/conferences.
- c. Indications captured in this evaluation suggest that PPP-ISWM is not seen as global strategic priority for UNDP, which may call into question whether and how UNDP will monitor the uptake of PPP-ISWM knowledge and if it will have the desired impact at the global UNDP level.³⁴
- d. At 10% of the programme costs, the intervention has demonstrated the feasibility of applying the PPP-ISWM approach to several country contexts. Common factors influencing the extent to which the PPP-ISWM approach was adapted both efficiently and effectively to each of six country contexts include: 1) the political will to improve PPP-ISWM services for target populations (i.e. willingness to use knowledge/advice imparted from capacity development investments), 2) UNDP's ability to use 'project-preparedness' methods (i.e. use of core funds to prepare partners before the pilot goes into full swing), 3) the caliber of country focal points to broker vital partnerships in a timely and consistent manner (i.e. time spent

³³ 4-5 page long case stories were planned but not produced by the time the evaluation took place

³⁴ Statement based on a review of sample documents from programme and interview findings at the global level

building a sustainable and common vision of PPP-ISWM at an early phase of the pilot saved time and effort in the retention of ownership and key decision makers), and 4) the strategic positioning of ISWM projects internal to country offices (i.e. optimizing on UNDP in-country M&E and policy support).

- e. At 33% of the programme costs the programme was unable to demonstrate a) the sufficient design and use of an M&E system and b) the ability to manage UNDP staff turnover without compromising on coordination of the support provided at country level for two regions. A mix of core and project funds enabled UNDP/UN-Habitat to position six CFP and three regional PPP-SD focal points between 2009-2010. Conversely, feedback received from all focal points interviewed during the evaluation suggests that a full-time CFP position would have likely improved the quality of results in a number of important areas. These areas include the scale up of the pilot to other parts of the targeted city (Bhutan), additional time to facilitate partnerships (Nepal), and the necessary time to read, learn, and attain a deeper insight into the PPP-ISWM model, possibly avoiding mistakes on the best way to broker different ISWM partnership interests (Nicaragua, Malawi, Lesotho).
- f. The process of institutionalizing ISWM as a methodology within PPP cost 10% of the total programme expenditure in 2009-2011. Either the cost of this process was over-estimated at the design phase (i.e. there was a surplus of \$216,010 in 2011 for this budget line) or based on findings thus far, this component could have been expended differently in order to strengthen the PPP-ISWM institutionalization process. For instance, the programme has yet to draw on UNDP's comparative advantage at the global level to embed ISWM as a method within PPP;
- g. Between 2009 and 2011, almost a quarter of the budget was allocated to investment awards to fund country-level proposals. At face value, this figure appears to be a reasonable percentage of funds to facilitate the partnership change process at the 'grassroots/community level'. However, a closer analysis of the resources dispersed reveals a different story.
- h. Two different stakeholder groups drawn from two countries (e.g. Nepal and Malawi) commented on the unequal distribution of funds between direct (poor household members) and indirect beneficiaries (partners agencies and counterpart) suggests the budgeting and implementation of pro-poor measures were not sufficiently prioritized.³⁵ In Malawi for example, direct beneficiaries such as co-operative members were given very few resources to generate the type of income changes planned for at the design phase. Funds for improving poor peoples working conditions such as a shed to sit under in order to prevent heat-stroke and to provide a place to store compost briquettes were utilized by municipalities in other ways without reasonable explanation. Funds were spent on a vehicle for the municipality yet interview findings suggest the use of a vehicle was rarely used for mission visits, neither accelerating nor improving project performance.
- i. Feedback from both private sector '4 Seasons' and CSO representative CCODE, suggest that a more equitable allocation of funds directly to beneficiaries would have contributed to increased yields and elevated income levels from the sale of the compost.

³⁵ One rake distributed per 10 women, slowing down the rate at which compost was produced and sold, as captured in the Final Evaluation Report, Malawi pp26

4. With regard to the Nepal project, investments to improve the hazardous health and safe working conditions of female waste pickers were woefully missing and funds spent on private sector investments, research and planning have not yet demonstrated *sustained* benefits to target poor communities.³⁶ The long-standing PPPEU programme (which DGIS funds helped to leverage at the tail end of the country programme), has yet to clearly demonstrate if or how effective bottom-up participatory processes were replicated and scaled up (e.g. the use of citizen's report card to increase public sector accountability for SWM services delivered in target neighborhoods).
5. UNDP/WASTE documentation has yet to bring these kinds of issues to the forefront of its portfolio of knowledge management. With the exception of three interviewees (i.e. 0.3% of sample interviewees), few commented on improvements in efficiency from a programmatic or performance-related perspective. Given the evaluability of this programme, judgments on whether 43% of programme funds was adequate or over-budgeted for the results attained is somewhat of an arbitrary exercise.³⁷ More importantly for lesson learning purposes, the question for UNDP is "*does UNDP need to invest differently to create and maintain benefits from pilot programmes?*" The following sections on M&E and the effects of UNDP modalities are written with this question in mind.

³⁶ IMPACT STUDY OF PPP PROJECTS" Centre for Economic Development and Administration (CEDA) UNDP (NEP/04/001) December, 2012 refers to work conducted during or before 2009, but not during the bulk of the DGIS funded period

³⁷ 43% is the combined costs of reaching outcome 1 and 2 in 2011

Performance Management and M&E

6. M&E is given particular attention under this section because M&E practices tend to reflect *what* changes are considered important to track, take corrective actions on, learn from, and report on. M&E practices can also reveal *why* a given set of monitoring information is given credence over another set.
7. UNDP has used its own templates, such as work plans and progress reports, as well as its finance and operational system, called ATLAS to manage the PPP-ISWM monitoring and performance management process. However, ATLAS is not an adequate substitute for an M&E system³⁸. WASTE has drawn on its own progress reporting templates to record completed activities. Neither agency however, had developed a monitoring system at the beginning of the programme period which was capable of efficiently and adequately capturing the quality and rate at which country level indicators were being met. Four out of six countries confirmed the development of PPP-ISWM baselines surveys, of which two were reviewed for the evaluation. Of this figure, only one baseline report appeared to have both methodology and findings intact (Bhutan).
8. Despite the fact that WASTE faced mixed messages from UNDP about its scope of monitoring the six projects, the technical provider has yet to demonstrate the existence of its own internal monitoring system. The quantity and quality of training and technical assistance *delivered* was not organized and documented in a way that the external evaluation could verify³⁹. At the UNDP regional levels 'impact' level data had not been aggregated for annual progress reports and the necessary checks and balances to determine the reliability of data appears to be missing.⁴⁰ There are instances where outcome level data reporting by some countries had been mixed up with process-related information.⁴¹ These oversights are partly due to the results framework contained in the Pro Doc. The M&E section is very vague and costs for M&E were not ring-fenced. In addition, M&E priorities remained relatively low throughout the programme and the need for M&E specialism was neither identified by UNDP/WASTE nor requested by the project countries.
9. Yet, feedback from country focal points revealed the burden of duplicitous narrative reporting, citing M&E inefficiencies in the programme. Had they been designed and used systematically, the use of a common data plan, a quantitative results dashboard, sex disaggregated data, and *SMART indicator-based* monitoring tools, would have increased the efficiency of tracking results, as well as set a higher standard of reporting from a majority of pilot countries.
10. In general, WASTE responded to requests for training, research, and technical advice in a timely and relevant manner. Stakeholders from Malawi and Nicaragua reported on the good value of advice received on sustainable waste management, gender equity, and partnership linkages, commenting on both its relevance and its use during the pilot phase. When asked about what learning they recalled, trainees tended to generalize on technical concepts and topics taught. This suggests the need to either follow-through on learning events or to use

³⁸ An M&E system is comprised of more than information-gathering, financial/risk analysis and reporting tools. A deeper assessment of UNDP M&E systems is beyond the scope of this short evaluation

³⁹ APRC contained technical services delivered by WASTE in annual progress reports (2009 to 2011). Data aggregation on training/technical advice delivered was feasible but not done, possibly because of low internal M&E capacities

⁴⁰ Fact sheets, country & progress reports rarely cite source of verification, country progress reports not consistently standardized by indicators and more typically activities and budgets.

⁴¹ Progress Reports or documentation reviewed for Nepal, Malawi, Lesotho.

project closure/succession meetings as an opportunity to refresh their understanding of PPPs in relation to ISWM service planning and budgeting.

11. In absence of a programme M&E system, each of the six countries worked to variable M&E standards. Bhutan and Nicaragua demonstrated the most precise explanation of results against baseline survey data and/or verifiable outputs. The existence of newspaper articles and scientific articles (Lesotho, Bhutan, Malawi) and the use of U-TUBE (Nicaragua and Peru), clearly demonstrate concrete and verifiable changes realised at the outcome level (lives and conditions of target populations). Peru, Malawi and Lesotho also demonstrated efforts in using baseline data for progress reporting purposes.
12. Fact sheets have been written up for all six pilot countries, augmenting the information missing in country progress reports, communicating country level achievements, and new partnerships in a succinct and user-friendly manner. Yet an absence of reliable data and limited references to the source of verification from some country pilots created a vacuum of precise information documented at the global level. The use of case study materials was rarely referred to in interviews and stakeholder feedback sessions Nicaragua was a case exception *"Yes. Used several times. They are an important reference when discussing sustainable waste management and PPP within the projects developed by the institution".*⁴² This finding suggest that UNDP could a) assess the utility of its materials through a sample of project stakeholders at the country level, and b) find ways to optimize on the knowledge captured in case stories to improve future pilot design and implementation.
13. A process of triangulation used in this evaluation created some confusion about the results achieved in some pilot countries. In Lesotho for instance, stakeholder feedback suggests the draft SWM by-laws were developed well before the pilot project, yet the annual progress report (and case stories from Lesotho), suggest the SWM by-laws were developed and translated as part of the pilot period. These by-laws have not yet been enforced because of ongoing delays in the National Assembly.
14. The range of results arising from Nepal while being valid, were not all attributable to the DGIS allocated funds alone and may have resulted from work undertaken by other agencies as well *" a PPP law has been passed.. 4,000 persons received training"*⁴³... These oversights in data reliance further substantiate the need to employ a tailored M&E system for pilots which are premised on the use of evidence.
15. UNDP showed concerted efforts to remain flexible in its programme approach for much of the lifetime of the initiative. This flexibility proved useful to some regional focal points concerned about the level of performance. In Nepal and Peru for example, the regional PPPSD withheld the release of funds based on poor performance and poor documentation of progress. Irrespective of whether correction actions were adequately implemented in Nepal, regular APRC missions to the Asia region lent a greater focus on the need for corrective actions.⁴⁴ Performance-based processes are not institutionalised nor considered appropriate by some UNDP counterparts. The above set of findings suggests that performance management mechanisms should be in place to adequately reinforce the results-based culture that UNDP has been striving for.

⁴² Questionnaire response quote extracted from Habitar.

⁴³ Fast Fact Sheet, September, 2011.

⁴⁴ Statement based on a review by the evaluator of BTOR reports, 2012.

Global partnership arrangement with WASTE

16. The global partnership with WASTE has enabled both agencies to combine their relative strengths. WASTE has a network of partners in a wide range of countries and UNDP carries its mantle of comparative advantage from the global level to country presence. In general, this arrangement has worked well. Feedback from both parties reiterates the need for stating deliverables at the contractual phase. In retrospect, contracting dilemmas could have been avoided if expectations on communication protocols with country level partners and UNDP country offices had been made explicit from the outset. An in-depth understanding of sub-contracting monitoring duties to a service provider would have saved time and effort for both parties involved. There are implications from assigning monitoring responsibilities to a contractor, particularly when monitoring is tied to decision-making, accountability/performance management, and reporting the manner in which resources are expended and explained.
17. A mid-term review of partnership practices between UNDP and WASTE has taken place, although it is not clear why monitoring roles and programme expectations were not adjusted for the remaining part of the programme.⁴⁵
18. WASTE did not have a role in the final selection of pilot cities, but it was expected to deliver technical support through its network of partners, SURCO-. In most cases, this arrangement worked well but in the case of Peru, UNDP's choice to position the pilot in the city of Arequipa where WASTE had no partner presence, meant that WASTE faced difficulties in providing timely programmatic and technical assistance through its partners.
19. UNDP Peru faced a number of implementation problems from limited UNDP PPP expertise, to fluctuating political will of the municipality (to support PPP-ISWM). UNDP's decision to select the city of Arequipa (where WASTE had declared no partner presence and previous track record) should have prompted UNDP to adequately prepare the pilot. Additional functional and technical support to the CFP at the pre-implementation and start-up phase was clearly evident. The necessary time to assess risk and to take corrective actions should have been factored into UNDP's programme support duties at the regional level. The inefficiencies faced by the Peru project appeared to have spilled over to the implementation and post-completion phase. With the exception of one other pilot, the quality of progress documentation and UNDP fact sheets was limited. Peru was also non-committal towards the evaluation process.

UNDP Global and Regional PPP-ISWM Policy Support

20. The relocation of the global management role from South Africa to New York in mid-2012 made sense because UNDP in New York is host to a pool of policy knowledge. Under KICG PPP-SD, the UNDP regional centers have effectively positioned capacity development as a necessary and integral component to PPP-ISWM. Among other products, case study materials and a 2013 KICG knowledge management strategy paper have been effectively profiled for policy dialogue.⁴⁶ However, annual progress reports (2009 to 2011) suggest results at the global level were either not planned for or not produced. Policy results between the global and regional level were not effectively demarcated and are largely represented through the completion of activities (such as attendance to meetings and conferences). Bearing in mind the severe time constraints faced by the evaluation, a review

⁴⁵ Mid-Term Review page 31

⁴⁶ The evaluator found multiple examples to substantiate this claim. Production and dissemination of PPP-ISWM case studies, research papers and knowledge products all profiled through regional policy fora, social media, UNDP/WASTE website portals, organizational learning intra-net sites

of other desk materials did not clearly reveal results achieved at the global policy level, as stated under goal 3 of the ProDoc “Achieve truly functioning upward policy linkage in solid waste management”.

21. This finding is partially related to the fact that the Pro Doc policy results statement is very broad and in need of specificity. Furthermore, UNDP had not produced a final 2012 Progress Report, the contents of which would have effectively captured the cumulative policy results reached at the global regional and country levels. The evaluation faced difficulties in capturing global level policy results (substantiated by documented evidence) until the evaluation feedback process. The feedback process revealed that policy support activities had indeed contributed to strategic pieces of work at the global level⁴⁷.
22. The evaluation has included a number of recommendations to improve UNDP’s capacity in policy support, results monitoring, and progress reporting.

UNDP has a shown variable performance in taking forward PPP-ISWM from a policy/advocacy perspective, particularly at the global level

The value of co-funding between UNDP and other partners

23. The use of a co-funding mechanism between DGIS provided funds and municipality funds/in-kind contributions worked well in most countries, helping municipalities to take ownership of both the process and results attained. In the case of Peru however, a lack of co-funding and adequate contributions-in-kind from the municipality curtailed the progress of work but more importantly, should have signified a ‘red flag’ to UNDP that understanding and ownership of the PPP-ISWM approach had not been adequately attained at the local level. The UNDP Peru project implementers were keen to continue in spite of the reduced funds. While commendable, the decision to continue also implies short-sightedness of the true costs of undertaking a pilot venture and the impact of significant slow progress/reduced funds on the quality of results expected.

Organisational preparedness at the country level

24. Other agencies are increasingly inserting a 3-6 month ‘pre-implementation phase’ as part of their commitment to organizational preparedness, efficiency, and impact.⁴⁸ Feedback from CFPs suggests a similar arrangement could be beneficial to UNDP particularly in circumstances where pilots are being tested. The ability to “*Hit the ground running*”⁴⁹ is an important factor for short-term projects and UNDP/WASTE should not under-estimate the time it takes to be reasonably prepared to roll out a pilot scheme.
25. A review of Bhutan and Nicaragua progress reports demonstrates a gradual development of outputs at a reasonably realistic pace. In Bhutan, a four month preparatory phase injected the additional time to build the trust and understanding of PPP-ISWM concept with relevant municipalities. In other words, the partnership development process began four-five months prior to the roll-out of the project in September 2009, circumventing the need to

⁴⁷ New information was provided during the second feedback session of the second draft report, received by the evaluator on 16th September. The late submission of information has not been incorporated into the final report. However, relevant details on the Green Economy Fund, the toolkit for Climate Finance Readiness can be sought from the PPP-ISWM Evaluation Task Manager, Mr. Petrus Van De Pol, the UNDP PPP-ISWM Global Manager

⁴⁸ IFAD, ADB and World Bank

⁴⁹ Quote taken from former Malawi CFP during an interview, August 2013

identify the 'change agents' as the project was in full swing in 2010. The pace of joint consultation and initial learning was spread across the first 12 months when the onus to report on 'results' was process-driven, less tangible but nonetheless, meaningful.

26. Four out of six country focal points commented on the benefits of an earlier start time for implementing activity 2 (internalization of ISWM as a method with PPP-ISWM). A pre-implementation period would have permitted the necessary time for planning the scale-up phase (Bhutan and Malawi) or provided the necessary opportunity for refresher training for newly appointed partner representatives partners in Nicaragua. Feedback from stakeholders and country focal points in Malawi, Nepal, Nicaragua, and Lesotho suggest that the process of UNDP overall project approval and multiple operational compliance measures delayed the timely delivery of at least three important activities, *"We waited 3 months for the signing of agreements when we should have spent time preparing ..[cooperative members]"*.⁵⁰ During the first 6 months of the programme country offices faced delays in programme management (activity 1), partnership coordination and technical back-stopping (activity 3.2), and investment awards (activity 5.1).

National Implementation Model

27. The use of the national implementation mechanism (NIM) worked in Bhutan because of relatively high political will and (leadership) capacities guiding governance measures across multiple ministries. In Malawi, project experiences suggest otherwise. In the ministries concerned, NIM was considered as a premature modality in need of a longer gestation period before efficiencies and aid effectiveness could be realized. Delays in setting up financial compliance measures led to significant delays in progressing project activities. Feedback from one stakeholder in Malawi points to a lack of transparency in disbursement, suggesting that whatever compliance measures were established did not lead to the practices expected. This finding is indicative of the need to conduct a sharper analysis of whether the NIM modality is suited equally to all contexts and particularly for short-term projects that have no known long term global or country level strategy for continuity.

...this finding is indicative of the need to conduct a sharper analysis of whether the NIM modality is suited equally to all contexts and particularly for short-term projects that have no long term global or country level strategy for continuity.

⁵⁰ Interview findings from Malawi Pilot August 2013

EFFECTIVENESS

Outcome/Output level:

- To what extent have the planned outcome and outputs been achieved?
- Are the outcome/output indicators selected sufficient to measure these results?
- What evidence (case illustrations) validate claims to results? (partly covered under efficiency)
- What other indicators can be suggested to measure outcomes and outputs related to strategic roles and comparative advantage? (covered under recommendations)

Output level:

- What are the challenges to delivering the outputs? Distinguish global, regional and country level outputs (partly covered under relevance and efficiency)
- Has UNDP and WASTE utilized its comparative advantage to deliver planned outputs? (partly covered under relevance and efficiency)
- To what extent has the programme direction changed during programme implementation? To what extent did these were these changes effective? (partly covered under efficiency)

Programme design, results framework and monitoring

1. The design of the PPP-ISWM programme clearly reflects UNDP's comparative advantage. The ability to draw on a global presence and simultaneously access the 'ear of change agents' within government, the private sector, and the civil society sector alike offers UNDP valuable opportunities to contribute improved policies and programming. Compared to its other areas of sectoral expertise and as an agency relatively new to the world of sustainable waste management, the programme design signifies the foresight and vision to partner with WASTE, an international NGO recognized for its technical expertise on ISWM.
2. The design and substantive detail of the PPP-ISWM programme took place in 2007 and was based on the findings from a DGIS funded feasibility study conducted in 2003. An extension period of two years allowed UNDP additional time to identify pilot countries, and to establish the global programme. Clear-cut country selection criteria were applied to a majority of the UNDP pilot projects. By September 2009, when the project began, the global results framework was considered to be adequate and feasible.
3. With the benefit of hindsight however, UNDP/WASTE missed a valuable opportunity to refine the results framework in line with M&E industry standards⁵¹ and alongside a mid-term review of UNDP's fluctuating capacity for coordinating the global-local programme. For future programme design plans, UNDP/WASTE would benefit from the use of a highly practical gender action plan equipped with gender-responsive indicators. The use of pro-poor indicators in the results framework would have set a higher standard of project preparation and community mobilization for all pilot projects, rather than the few that were already gender sensitive and attempting an inclusive approach.
4. UNDP is gradually improving on its definition, planning, and verification of capacity development changes. At the time of the Pro Doc design phase this technical expertise was missing - as illustrated by the generalized results statement in the results framework. Again, specificity of results terms may have elevated the standard for post-training follow-up and the alignment of capacity development follow up for all projects rather than one or two high performing pilots.

⁵¹ UNDP Handbook of Planning, Monitoring and Evaluation 2010

5. The global Pro Doc contained very useful lessons and programming assumptions for country projects to learn from and adapt to each country context.⁵² A review of the lessons contained in the Pro Doc confirms their validity to this pilot programme. The importance of country level strategies for sustaining PPPs and the value of stimulating better cooperation between public, private and civil society were also clearly cited. Yet the Pro Doc made assumptions about sustaining a robust *global* programme structure for the programme duration.⁵³ The ability to understand the risks and assumptions of meeting objectives is crucial for planning and performance management. Far too few country level Pro Docs or country level research papers covered the necessary risk mitigation analyses expected of a programme reliant on collaborative partnerships.
6. An explicit definition of what is within and beyond the control of UNDP at the outcome level would have helped focus the type and level of changes expected from a four-year global programme. In this regard, the use of methods such as 'outcome mapping', 'process-tracking', and 'contribution analysis'⁵⁴ are fast gaining kudos among and within a range of other agencies committed to results-based management at the outcome and impact level. Where effective risk mitigation analysis did occur in a timely manner, at least one project demonstrated its understanding of what could be realistically controlled at the project input level (e.g. Nicaragua risk mitigation with civil society partners and Bhutan partner discussions).
7. Given the complexities behind any given pilot initiative where the exposure to risks are greater, the findings above make the case for rethinking the manner in which core and grant based funds are drawn upon to support design work and to ensure programmatic rigor of a multi-country pilot initiative.
8. A review of the global results framework (RF) itself reveals confusion in the use of result statements, possibly explaining why some country Pro Doc RFs have mixed output with outcome level results. Definitions of impact ('goal' in ProDoc), outcome ('result' in ProDoc) and outputs are not in synch with M&E industry standard definitions. Indicators are atypically aligned to 'goals' but not outcomes and outputs where the uses of indicators are vitally important. Activities, outputs, and outcome level changes are used interchangeably (e.g. outcome 1 and 2 are actually activities and/or compounded rendering it difficult to aggregate and measure).
9. An over-representation of activities⁵⁵ per outcome and the use of only one output level result has also hampered a common understanding of what country-level processes are critical to track for a multi-stakeholder pro-poor pilot project. In light of these and other reasons cited in the evaluation methodology, the rigorous evaluability of some results is actually unfeasible.

Factors influencing the achievement of outcome level changes

10. Achievement of outcome level changes such as *"the ability to facilitate and work with PPPs and provide services"* (outcome 5), the operation of *"new or strengthened sustainable waste, recycling and.... livelihoods associated with them"* (outcome 3), and the use of

⁵² page 8 global Pro Doc

⁵³ Significant staff turnover and/or double workloads as well as below average quality assurance mechanisms to hold pilot countries, technical assistance and regional coordination to account. For some but not all cases, gaps found in progress reporting, general documentation and follow-up of recommendations

⁵⁴ 'Outcome Harvesting for different kinds of Outcome' Simon Hearn

⁵⁵ Over representation of process and activity based RF also found at the country level for 50 % of sample Pro Docs reviewed (four in total)

relevant information by target groups/institutions (outcome 4), are dependent upon a variety of factors, some of which were beyond the control of short-term projects, as well as those that could have been managed differently by UNDP/WASTE.

11. While it is fair to say that one agency alone cannot determine outcome level changes, there is a growing body of research and evidence citing the effectiveness of contributing to the broader change process in realistic, verifiable, and informed ways.⁵⁶ The utility of policy guidance and regulations, the enforcement of service quality standards, and the capacity to influence people's behavior on SWM all necessitate a targeted, measured, and collaborative effort from a range of stakeholders, all of whom would need to share a common objective.
12. In light of these points, the findings give particular attention to effectiveness of policy support before addressing levels of achievement related changes in livelihoods, systems, and partnerships.

Programme and project level policy support at the country level

13. A combined set of factors were found to positively influence the outcome level change process in at least two countries and to some extent, up to four pilot projects. These factors included the combination of realistic result statements in two country Pro Docs (Nicaragua and Bhutan), the use of a systematic capacity assessment and capacity development response planning (Bhutan and Nicaragua), some understanding of the motivations of public and informal sector stakeholders (Malawi, Lesotho, Nicaragua, and Bhutan), and a conducive development context for improving public sector services (all countries).
14. Table 3 in Annex 4 shows the range of policy support planned and delivered across a majority of pilot countries. The Waste Prevention and Management Regulation (2012) in Bhutan was enforced in April 2012, giving the Ministry of Human Settlement and Planning the authority to integrate PPP-ISWM into the national budget and planning www.nec.gov.bt.
15. Equally important, PPP-ISWM was incorporated into the Framework to Mainstreaming Environment, Climate Change and Poverty (ECP) concerns into the Eleventh Five Year Plan (2013-2018). Although policy improvement was less of a primary focus in Nicaragua, multi-disciplinary teams drew on 'bottom-up' results related to MDG 1, 3, and 7 to slowly influence the 'Mutual Responsibility Policy',⁵⁷ based on the principle of "*knowing when the [policy] door is open*".⁵⁸ Tariff strategies and cost recovery options researched in Lesotho, Malawi, and Bhutan were also reported to influence the policy process. The Bhutan pilot provides a concrete explanation of municipality plans to use cost-recovery mechanisms through the use of electricity tariffs.

Stakeholder Analysis as a pre-cursor to effective policy support and partner facilitation

16. While stakeholder analyses took place in each of the six countries, WASTE has suggested that the process was not ideal. At times the necessary range of private sector interests, the voices of the poor and vulnerable, as well as perspectives of other country-level ISWM or PPP development partners were clearly missing. Strategies, work-plans, and capacity development resources were subsequently influenced by the interests of a few partners,

⁵⁶ American Evaluation Association research and dialogue www.eval.org

⁵⁷ Questionnaire response from Habitar mentions this policy but there is no reference of it in key progress reports

⁵⁸ Interview with Country Representative, Nicaragua, August 2012

rather than strategically informed by all three perspectives. The evaluator could not locate stakeholder reports from WASTE, indicating the need for improved process-documentation.

17. In some pilot projects where policy support and country focal partnership facilitation has proven to be effective for one or more partners (Bhutan and Nicaragua), 'partner prioritization' has led to improved skills, knowledge, and motivation to perform. In other pilots the over-use of activity-based reporting and weak links to country level policy influencing mechanisms masked the quality and effects of follow up work from outputs such as the production of a pricing structure analysis and training curricular, resulting in the loss of momentum and focus for policy and systems support.⁵⁹

UNDP internal mechanisms for policy support to municipalities and ministries

18. Further in-country analysis is necessary to discern the effectiveness of policy support mechanisms internal to UNDP and COs. With the exception of two pilot teams interviewed, responses from interviewee's reveals a vagueness about multi-disciplinary coordination and dialogue mechanisms used at the country level. UNDP country management and practice based teams could do better to facilitate policy linkages across sectors as well as through other development partner forums.

The need for policy 'follow-through' at the country level

19. The pilot programme has completed a number of useful activities concerning the PPP-ISWM policy support process. In Lesotho and Malawi for example, the change process has been effectively ignited by the delivery of training on the PPP-ISWM approach and technical advice on tariff setting. Nonetheless, these early gains were left to 'fizzle out' without a plan of action to reinforce the initial change process and 'gear it up' to the outcome level. This type of finding is not entirely surprising. Given the complex nature of policy reform, a four-year programme would not be adequate to achieve *"better sustainable waste practice at the local level and beyond the host municipality."*⁶⁰

In Lesotho and Malawi for example, the change process had been effectively ignited by the delivery of training on the PPP-ISWM approach and technical advice on tariff setting... but these early gains were left to 'fizzle out'...

.... pinpoints the value of collaborating with other like-minded development partners who share a common goal and are able to take forward well designed and managed pilots that have proven to 'spark' the change process
20. In retrospect, the use of well-researched and well-defined indicators contributing to policy uptake may have assisted at least three pilots to focus their inputs in different ways. For instance, feedback from Lilongwe City Council (Malawi) and the informal sector suggests the use of policy guidance and SWM technical assistance would have been better placed toward the enforcement of an existing SWM policy, rather than the formulation of a new policy that continues to remain in limbo.⁶¹
21. In Lesotho, the translation of by-laws⁶², the delivery of training to companies on good tendering practices, and the production of SWM strategy were effectively delivered by the pilot. However, these outputs alone did not influence the uptake of the strategy because MCC were generally left to *"internalize recommendations and finalise a SWM strategy..."*⁶³

⁵⁹ 2011 Annual Progress Report for Nepal page 15 Peru: Questions for clarification: June 2012, Nepal ISWM Activities and Progress (Jan – Jun 2012), Lesotho Project Report Q1/Q2, 2012

⁶⁰ Results statement number 6 of Global RF

⁶¹ Questionnaire response from Bunda College, Dr David Makewa

⁶² Lilongwe City Council SWM By-Laws 10th November 2012

⁶³ Lesotho Project Report Q1/Q2 2012, page 2

22. These findings reinforce the importance of understanding the pace and nature of change at the outcome level and the benefits of stating results that are realistic for a short-term project cycle. The findings also pinpoint the value of collaborating with other like-minded development partners who share a common goal and are interested in taking forward well designed and managed pilots that have proven to 'spark the change process'.
23. Shortfalls in policy support are neither cost-effective nor noteworthy for organizations striving towards a results-based culture. A realistic and informed use of evidence-based policy work, aided by a programmatic approach and a longer-term funding stream, would enable UNDP to optimize on the gains made from a few of the well designed and managed pilots.

PARTNERSHIPS

- Has UNDP's PPP-ISWM partnership strategy been appropriate and effective in achieving the outputs, particularly those at the country level?
- To what extent have the partnership models worked, including the creation and facilitation of national and regional consortiums and networks?

Partnership strategy and the PPP Toolkit

25. A majority of project countries have drawn upon the importance of partnership as the bedrock for their project rationale. In Nicaragua for example, a high profile signing of 'Agreement for Cooperation for SWM in the 5th District' paved the way for effective collaboration until a changeover in political seats took place in 2011. In Lesotho, a technical strategy report positioned responsibilities of each partner in relation to specific ISWM services and tariff setting.
26. Yet of all the key documents shared with the evaluator, only Bhutan appeared to have an explicit partnership strategy,⁶⁴ suggesting that a country level strategy per se was not considered as an essential tool for countries to develop and use. Feedback from Thimphu Municipality in Bhutan and a review of other source documents,⁶⁵ verifies that the strategy contributed to a wide range of results including the importance of adopting cost –recovery measures to scale-up the benefits from the pilot.⁶⁶
27. At the global level, financial packages were disbursed to all countries to facilitate the partnership process (process output related to outcome 5). The PPP-ISWM Model was explained to stakeholders and CFPs as part of a three-day orientation on the project through periodic regional missions and through the use of technical support from both WASTE and UNDP. A Step-by-Step Toolkit was additionally circulated to CFPs and found to be of practical use to a couple of country projects. A majority of interviewees claimed not to remember receiving a copy of the global PPP- ISWM strategy and model itself, pointing to the benefits of a pilot to:
 - improve the process and timing of orientations;
 - integrate the use of refresher half-days on a regional basis (use of virtual methods are cost-effective and time-efficient);

⁶⁴ Final PPP-ISWM Pro Doc. Bhutan UNDP and Thimphu Municipality pp10

⁶⁵ PPP-SD Progress Report, APRC 2011, Capacity Development is change: why scaling up local development innovations is important for transformational change UNDP KICG date not cited, Household survey on waste management in PPP-ISWM pilot project area in Thimphu, April 2011, Author not cited

⁶⁶ ToR for a consultant to research and propose cost-recovery mechanisms has been eagerly approved by Thimphu Municipality (Interview notes)

- improve the process of documentation (storage and retrieval at regional and country levels).

Partnership facilitation

28. Unique PPP-ISWM partnerships have been brokered in all six countries and 83% of country projects have contributed to a change in the mind-set of government representative (results contributing to outcome 5).⁶⁷ Instead of seeing the private sector as a medium for “*just outsourcing*” ISWM services, the private and informal sector are now considered as partners valuable for solving ISWM problems together.⁶⁸ A sample list of partnerships brokered by pilot countries is provided in Annex5
29. Table 4 summarizes the partnership targets reached by each pilot country. Data submitted by some CFPs is not entirely reliable and therefore judgments on the extent to which partnership targets have been met remains arbitrary for some countries such as Peru, Lesotho, and Nepal.⁶⁹ Using the lower quintile as the denominator, the programme met some of the original targets but not all, including 40% for ministries, 130% for municipalities, 40% for the private sector, and 26% for NGOs/CSO networks.
30. Combining the findings from the desk review and interview notes, the contents of this table highlight the following points:
- a. The Nicaragua pilot project focused on building a critical mass of partnerships ‘downstream’ with CSOs and at the local municipality level before attempting to influence change agents at the upstream ministry level;
 - b. Bhutan and Malawi adopted a broader strategy for partnership facilitation, attempting to link downstream services with ministry level upstream influencing. In the case of Bhutan, ‘critical mass’ was built up primarily at the ministry and municipality levels. In Malawi, the balance of partnerships was largely weighted on CSOs/the informal sector;
 - c. The private sector has been used to help pilot projects link objectives of poverty reduction with environmental sustainability (e.g. in Malawi and Bhutan). Where there has been little private sector viability for ISWM, country projects have adapted the model and drawn on CSOs to facilitate income generation opportunities (e.g. Tolel Lane Organisations in Nepal and Nicaragua).
 - d. However, none of the pilot projects have actually had the time to *test* the viability of the private sector component of the model to develop a sustained business case. Technical knowledge of the private sector and its viability in PPP-ISWM remains relatively weak in comparison to the programme’s knowledge base in the public sector. In Malawi, there were claims of a private sector monopoly but there were no concrete measures to address this dilemma in future pilots. In Nepal, the poor performance of the private sector led to several breaks in contract and bad-

⁶⁷ Estimated figure based on interviewee notes from five countries and documentation from six countries

⁶⁸ Findings drawn from Multi-Stakeholder meetings conducted in all six countries and reported in progress reports 2009, 2010 and 2011

⁶⁹ Quantitative data on Nepalese municipalities and CSOs does not tally the contents of APRC documented materials, Fast Facts Sheet Sept. 2011. Lesotho and Peru country focal points were no longer in position at the time of the evaluation, data was not forthcoming

Table 4 An aggregate of country level partnerships and total numbers of beneficiaries

Countries	Ministries	Municipality	Private Sector	Country Networks/ CSO	Direct Beneficiaries	
PLANNED						
5-10	10-15	6-10	10-15	a) 50-30	5,000-25,000 families	
ACTUAL						
Bhutan	2 ⁷⁰	1 ⁷¹	2 ⁷²	1 ⁷³	14,720 ⁷⁴ & 145 waste pickers	
Nepal	1 ⁷⁵	3 ⁷⁶	1	3 ⁷⁷	4200 ⁷⁸	
Malawi	2	1	1	2	158 Waste entrepreneurs	
Lesotho	1	1	-	-	-	
Nicaragua	0	1 ⁷⁹	0	2 ⁸⁰	2695 ⁸¹	
Peru	0	1	0 ⁸² and 46 recyclers ⁸³	N/A	6,485 ¹⁴	
TOTAL: 6	6	8	4	8	17,573 (possibly 28,283⁸⁴)	
83%	40%	130%	40%	26%		

e. governance practices. Despite this, the private sector component of PPP-ISWM continues to earn less debate and analysis in any of the fact sheets or progress reports reviewed in the evaluation.⁸⁵

31. Since fluctuations in capacity can be expected at various levels of the partnership process and with the advantage of hindsight, technical support could have been better planned and managed. Feedback from two CFPs and stakeholders verifies the importance of 'partner-learning refresher-days' to meet the learning needs of partner counterpart and staffing changes. A deeper regional analysis of partnership approaches perhaps as part of the

⁷⁰ 1. Ministry of Works & Human Settlement; 2. National Environment Commission

⁷¹ Thimphu Municipality

⁷² (1) Greener Way [www.greenerwaybhutan.com]; (2) ReCiTi

⁷³ Royal Society for Protection of Nature

⁷⁴ The pilot survey covers 400 buildings benefitting a population of 14,720 people through effective waste service delivery.

⁷⁵ Ministry of Federal Affairs and Local Development

⁷⁶ Tri-partite partnerships between local governments,(municipality) local business communities (formal as well as informal) and civil society organizations.

⁷⁷ Physical Planning, Transport and Work, Urban Development and Planning; Federation of Nepalese Chambers and Commerce and Industries (FNCCI); MUAN (Municipal Association of Nepal)

⁷⁸ Survey Report not referenced, the evaluation is unable to verify this figure

⁷⁹ PRODOC NIC10-00069437:Alcaldía de Managua

⁸⁰ PRODOC NIC10-00069437: Centro de Estudio y Promoción para el Habitar (HABITAR), Grupo "Manos Unidas"

⁸¹ Estudio de medición de calidad de vida a miembros de la cooperativa "Manos Unidas". December 2011.: 2,695 habitants. Target was 2,000

⁸² Two informal sector providers as intermediaries for waste collection: Recila Vida and Neuvo Mundo. Number of recyclers different in two source documents 'Fact Sheet' Dec. 2012 and " Questions for Clarification", 21/06/12

⁸³ Number of householders extracted from a document " Questions for Clarification", 21/06/12 claiming 6,485 household members benefit but no survey report submitted

⁸⁴ The Peru pilot did not participate in the evaluation and figures could not be verified through other means of verification

⁸⁵ Ad- hoc feedback suggest the tendering process in Nepal was also exposed to a conflict of interest and non-transparency

annual review and progress reporting process, would have likely shed light on matching technical support to the challenges of facilitating/brokering partnerships.

Two country examples showing the relationship between partnership facilitation and the achievement of results

Bhutan: Strategic use of the entrepreneurial spirit of the PPP-ISWM

32. Judgments on the degree to which partnership models have worked is somewhat reliant on actual models adapted and documented. Earlier parts of the report have touched upon the efficacy of the Bhutan PPP- ISWM model, this part of the report focuses specifically on the private and pro-poor components of the model.
33. From a private sector perspective, the PPP-ISWM approach requires further work to streamline decision-making processes suited to the needs of the private sector. For instance, the use of efficient tendering procedures and the execution of well organized urban/land planning would assist the private sector to plan their own operations and budgets including legal documentation. *"Discussions about outsourcing happened three years ago...and still no real movement, I would have like to know[n] about the issue of land titling to avoid delays on moving on the 45,000sq meter area of land [as a transfer area].....no I don't know about other partners through the project but I have had to learn myself, and made contact with BCCI (Bhutan Chamber for Commerce)".*⁸⁶
34. Greener Way has certainly benefited from capacity initiatives provided through the project. At its own cost the agency has conducted numerous awareness raising events in sixty four schools. Based on the interview and documents reviewed in this evaluation, it appears this type of partnership has had mixed results. On the one hand, the pilot has profiled the entrepreneurial spirit of Greener Way on an international scale through the UN Commission on Sustainable Development. Greener Way was also awarded the Prince of Wales certificate for Young Entrepreneurs and earned a lease from the municipality enabling it to produce recycled waste more efficiently. On the other hand, the municipality partnership is perceived as burdensome and bureaucratic *"I don't know why, but they (UNDP/municipality) asked me to write reports, but I haven't received any funding from them, so why must I spend so much time on this, I am more interested to build up my business? Aware of the need to avoid a conflict of interest, Greener Way questions whether the PPP-ISWM approach as it currently stands, will be a viable long-term venture for his company. This finding suggests the need to take a much closer look at best ways to facilitate private sector and public sector partnerships for ISWM.*
35. In many ways, the Bhutan experience serves as an exemplary model, rich in content for lesson learning purposes and a model equally accepted by the municipality as a critical component for realizing Thimphu's medium to long term goals in public sector service provision.⁸⁷
36. The limitations of a remotely conducted global evaluation prevented capturing the voices of the poor and vulnerable, other private sector perspectives, and the opinions of

There are questions whether the scale-up phase will actually improve the viability of private sector partners

⁸⁶ Interview with Karma Yonten, CEO of Greener Way, August 2013.

⁸⁷ Interview Notes, Thimpu Municipality and Thimpu PPP—ISWM Case Study 2012

development partners with scale-up capacity. A country-based fact finding exercise would help to identify what questions should be asked and measures taken to facilitate the pro-poor PPP-ISWM model. For instance, how likely is it that government entities would put in place pro-poor compliance measures without completely jeopardizing private sector interests?

Nicaragua: The case of the cart-drivers and a pro-poor model

37. In Nicaragua, the PPP-ISWM model is clearly documented citing sources of verification and giving a range of examples of how the pilot's partnership work has led to the positive and continued effects of the PPP-ISWM services.⁸⁸ A social communication strategy enabled Habitar to systematically identify target areas where cleanup activities would have a 'multiplier effect' motivating both males and females to change their attitude from *"I would rather dump the waste in the river"* to clients paying for a regular service.⁸⁹
38. Survey and social media evidence indicates a reduction in littering and illegal dumping by barrio residents in conjunction with an increase in ISWM service utility. 3,611 households in eight neighborhoods benefited from regular ISWM services *"horse cart men provide more personal and efficient service, they take the same route and directly collect fees at the point of service delivery, whereas before tax collectors visited the HH and residents didn't always get a reliable service"*.⁹⁰ Nicaragua was one of the few project countries to document its attempts to draw on the strategic presence of the Association of Municipalities to promote the replication of the PPP-ISWM approach.
39. Although effective linkages were made with the municipality, a change in government personnel meant ISWM service planning and coordination did not materialize as envisaged.⁹¹ The pilot's unique low- technology, localized partnership approach speaks volumes about the viability of such a venture *"UN-Habitat tried to build a few large transfer stations in the same area, but this was not accepted because of the 'not in my backyard' mindset"*.⁹² At the height of the tri-partite model approach the partnership model transpired to be a far more acceptable solution to Managua's SWM problems than prior the pilot intervention. The model benefited from the supply of municipality owned large waste trucks to remove waste from transfer stations, the use of empowered cart-drivers and cooperative members, and Habitar's community mobilization support of working through community leaders.
40. The sample of country examples:
- illustrate a mixed set of results on the effectiveness of PPP-ISWM sustainable models;
 - show a mixed set of results on the ability to draw on the in-country expertise and presence of development partners working on PPP and/or ISWM and;
 - provide UNDP and WASTE additional opportunities to refine PPP-ISWM in case replication is considered a viable option in other locations.

The Nicaragua pilot's unique low- technology, localized, personalised partnership approach speaks volumes about the viability of the pro-poor PPP ISWM

⁸⁸ Switching Managua On' Connecting informal settlements to the formal city through house collections, Vol. 25 # 1 April 2013, Maria Jose Zapata Campos and Patrik Zapata

⁸⁹ Quote taken from 'Switching Managua On', page 11

⁹⁰ *ibid* 49

⁹¹ Progress Repot 2011, page 16. Does not cite specific details

⁹² *Ibid* 49

Regional and Global Linkages

41. Drawing on UNDP global presence and WASTE SWM technical expertise and credibility, a wide variety of linkages were made for policy support and learning at the regional and country levels (see Annex 5 for a sample list of agencies and institutions). There are examples where attendance to global network meetings with IPLA and ISWA led to useful strategies on using tariffs to recover costs in the Maseru City Council in Lesotho.⁹³ A study visit to Thailand by twenty Bhutanese Government representatives expanded the range of ISWM service options for Thimphu. The knowledge gained from this visit made sense *because* it coincided with on-going technical advice made possible from DGIS funds.
42. The examples above reveal that well-meaning linkages facilitated at the global and regional levels, require a strategy, plan of action and budgets to systematically *facilitate* the uptake of knowledge at the country level.
43. Based on the sample of secondary data reviewed, UN-Habitat appeared to be the only notable UN agency involved in joint programming with two of the country projects. Programme documentation cites a multitude of meetings and workshops held that included or were co-organized with different UN agencies and development partners. Development partners such as AUSAID (Nepal), UNESCAP/JICA (Bhutan), World Bank (Lesotho), and IADB (Nicaragua) have enabled resource mobilization and scale-up of PPP and/or ISWM. Few interviewees spoke of how they would optimize on in-country capacities of other agencies to take forward small-scale pilots, with or without UNDP's continued involvement. Interviewees rarely cited the use of useful (policy and network) institutions such as International Partnership of Local Authorities (IPLA) or International Solid Waste Association (ISWA).⁹⁴
44. A deeper country-level analysis is necessary to capture different stakeholder perspectives on whether and how deeply global and regional linkages have materialized in concrete and verifiable terms at the country level.⁹⁵ A country level analysis would also more effectively capture the complexities and nuances of each country project partnership. Without further dialogue with other UN agencies at the country level, this evaluation is unable to ascertain the reasons why UN collaboration was less evident in some countries and whether missed opportunities occurred as a consequence.
45. The sections on 'sustainability' later in this report, covers the degree to which partnerships have been institutionalized at the country level.

...targeted and/or well-meaning linkages facilitated at the global/regional level require a plan of action to translate knowledge/awareness into country level work schedules and budgets

Results achievement and influencing factors

46. The following section continues to address evaluation questions on the extent to which results have been achieved, citing influencing factors behind the change process. The table below gives an overview of key achievements. For the sake of consistency, the results

⁹³ No documentation to show whether the Tariff Strategy was used by the municipality

⁹⁴ ISWA mission 'To Promote and Develop Sustainable and Professional Waste Management Worldwide'. WASTE is core part of this association.

⁹⁵ A conference attended by Lesotho counterparts in Buffalo city, South Africa prompted the production of a tariff setting strategy by the WASTE deployed consultant. The extent of the up-take of the strategy by the council remains unknown.

definitions have been kept in line with the Pro Doc and not adjusted to M&E UNDP standards.

Table 5 An overview of important processes and key achievements

1	<p>Outcome: Programme structure partly operational. Budgeting, planning and reporting in place but not fully results-based. PPP actors brought together and projects established in all six countries within the first 24 months of the programme start date. Analysis of efficiencies and impacts on effectiveness are covered under in earlier parts of the report.</p> <p>Output: A general programme structure was evident in the first 12 months.</p>
2	<p>Outcome: PPP training materials produced in Spanish and English exist</p> <p>Outputs: Training delivered to all 6 countries. Training reports and the number and range of people trained at the country, regional and global levels was not compiled by WASTE and UNDP limiting the extent to which the evaluation can assess the effectiveness of training delivered. Improved skills, knowledge and attitudes towards using the PPP-ISWM approaches was evident in each of the pilot countries.</p>
3	<p>Outcome: New or strengthened sustainable waste, recycling, and related activities implemented in 6 countries. A minimum of 17,573 poor people benefited from new or improved ISWM services in five countries, meeting the target of “5,000 to 25,000” families. Figures from Peru remain unverified but if reliable, the total population estimated to benefit increases to 28,283.</p> <p>Output: Partnerships set up in seven municipalities⁹⁶.</p>
4	<p>Outcome sustainable waste information used by poor communities and/or municipalities occurred in all six countries, to varying degrees of utility.</p> <p>Output: Multiple Knowledge products created⁹⁷ and completion of website The number of portal hits was not monitored and factual evidence of website/Community of Practice utility is not entirely feasible.</p>
5	<p>Outcome: 100% of country projects demonstrated that ISWM solutions are possible.</p> <p>Output: An award of \$588,697 disbursed to six country level partnership projects.</p>
6	<p>Outcome: Better sustainable waste practices is evident in all pilot countries.</p> <p>None of the pilot countries sustained practices <i>beyond</i> the host municipalities in a three year period. This result was found to be over-ambitious for the time allotted to the pilot countries.</p> <p>Outputs: Knowledge and dissemination products (covered under output 4)</p>

Outputs related to outcome 2 to 6

47. Given the emphasis of capacity development as a means to change and sustainability, this particular subject is given further analytical attention under the next section on ‘sustainability’.
48. The process outputs delivered under outcomes 2 and have to be considered in tandem with two very

“I now easily afford school fees for my children. I also bought land and I am building a house” (Nora Baziwelo, female club member, Chalera village).

Nora made approximately \$348 every six weeks selling compost to Four Seasons Nursery Ltd (*Nations Article, date unspecified Lilongwe*)

6

⁹⁶ See Annex 5 for list of partners

⁹⁷

important points. First, UNDP did not formerly contract WASTE to conduct post-training assessments and monitoring to gauge the up-take of learning and second, WASTE rarely produced training effectiveness reports for any of the pilot countries where it had delivered training. Claims of success derived from the provision of training and knowledge products/services are generally made based on verifiable and reliable data. With a few exceptions, the links between cause and effect have not been adequately monitored by WASTE/UNDP⁹⁸ and there is an absence of relevant indicators to detect progress towards behavior change across the programme.

The use of learning materials and knowledge imparted from the programme

49. Following the translation and delivery of PPP and ISWM training materials, pilot projects produced a range of documents claiming the uptake of learning in different and useful ways. In Malawi and Lesotho, informal sector workers learned to recycle waste as a small business venture. An end of project survey conducted through Bunda College, Lilongwe shows that 29% of female club members had learned new management business skills and 22% believed their leadership skills had improved through group work provided by CCODE. Only 9% claimed “no success”, citing the effectiveness of the learning provided by CCODE. CCODE itself is a long-standing WASTE partner and it’s likely that the benefits of previous capacity support provided have trickled over to PPP-ISWM project. Interview notes from a former CCODE staffer reiterate the improvements witnessed by female club members *“I’ve seen women change their livelihoods first-hand, women were inspired to learn and earn money”*.⁹⁹
50. In Peru, SWM sensitization materials in Arequipa were reportedly used by the Municipality and a local academic institution and ISWM services were later provided to 6,485 HH.¹⁰⁰ In Nepal, female volunteers utilized skills learned from another project to conduct SWM service quality checks through the use of a citizen’s report card. Although precise information on whether this bottom-up process has affected the municipalities commitment to improve PPP-ISWM services remains unrecorded, this example shows the value of building on PPP-ISWM capacities from one project to another. Through the use of PPP-ISWM materials, the pilot claims to have trained 150 people on waste segregation and composting practices.¹⁰¹
51. Taking into consideration various country experiences, Figure 1 shown later in the report represents an assortment of factors known to either reinforce or hinder the progress and achievement of results expected from the programme.

Provision of ISWM services made possible through the private and informal sector

52. The evaluation found evidence of waste collection services provided during the project period in all six countries. New SWM assets were built through PPP-ISWM or municipality funds (e.g. Bhutan, Nepal, Nicaragua, Lesotho) and additional disposal sites were allocated by the municipality (in Malawi, Nicaragua, Lesotho, and Bhutan). In Malawi, a long-term lease of land to grow fruit trees was given to Four Seasons Nursery, increasing the opportunity for women to produce organic waste and increase their yield. These examples clearly signal government ownership of the model.

⁹⁸ For example, case study material used by Habitar to help the learning process and training provided (interview feedback to consultant), valorisation short course piloted in Malawi for the Mzuzu Centre of Excellence but not monitored for learning uptake.

⁹⁹ Interview with CCODE Manager, August 2013

¹⁰⁰ PPP-ISM UNDP Fact Sheet 2012, data not verified and no source documentation available

¹⁰¹ 2011 Annual Progress report, pg 15

Changes to the livelihoods of target groups

53. The evaluation found 50% of the pilots showed either reasonable or effective means of calculating and monitoring changes in the lives of people. Information on the *changes* in income levels and working conditions of females and males, the number of direct and indirect target groups reached, and changes to sustainable waste management systems was either unverifiable (Nepal), over-generalised (Lesotho), or implicit (Peru) in the country progress reports and country level documentation reviewed.
54. At the height of the project period when the municipality and informal sector shared common objectives and principles, the Nicaragua project increased its target of 1,300 HH and provided SWM services to a record number of 15,000HH in 2011/2012 and customer satisfaction levels were consistently positive.¹⁰²
55. A combined approach involving community mobilization and the application of health and safety measures led to regular SWM services. *“Interviewed horse cart drivers have shown changes in their operation methods. They take greater care in terms of healthy habits (for themselves, their families and house animals), they are more disciplined regarding the compliance of norms and regulations, and they consider their relationship with the Municipality has been strengthened because they have [been able to voice] their demands [unlike before] in order to provide better services”*¹⁰³ (Switching Managua On” page 10)
56. By the end of 2012, service provision data showed a drop in targets from 15,000 to an estimate of 10,000HH, largely because of the municipality’s breach in contract with ‘Manos Unidas’ (the cooperative group supported by Habitar).¹⁰⁴ Customers faced irregular or poorly delivered waste collection services and withdrew their patronage following this breach in contract. Despite a well-organised, informed, and motivated group of advocates and cooperative members, Habitar was unable to influence the municipality to meet its own contractual terms. An unverified number of cooperative members continue to earn an income given to them directly by customers from seven neighborhoods.¹⁰⁵
57. The Malawi and Lesotho cases are useful for highlighting the feasibility of selling compost from collectable waste. Income generation by several women’s club members involved in the aptly titled Malawi project ‘Waste for Wealth’, reportedly continues and UNDP documentation reports that group sales (comprised of 150 women) reached 6,200 USD in the first 6 months of the project inception phase.

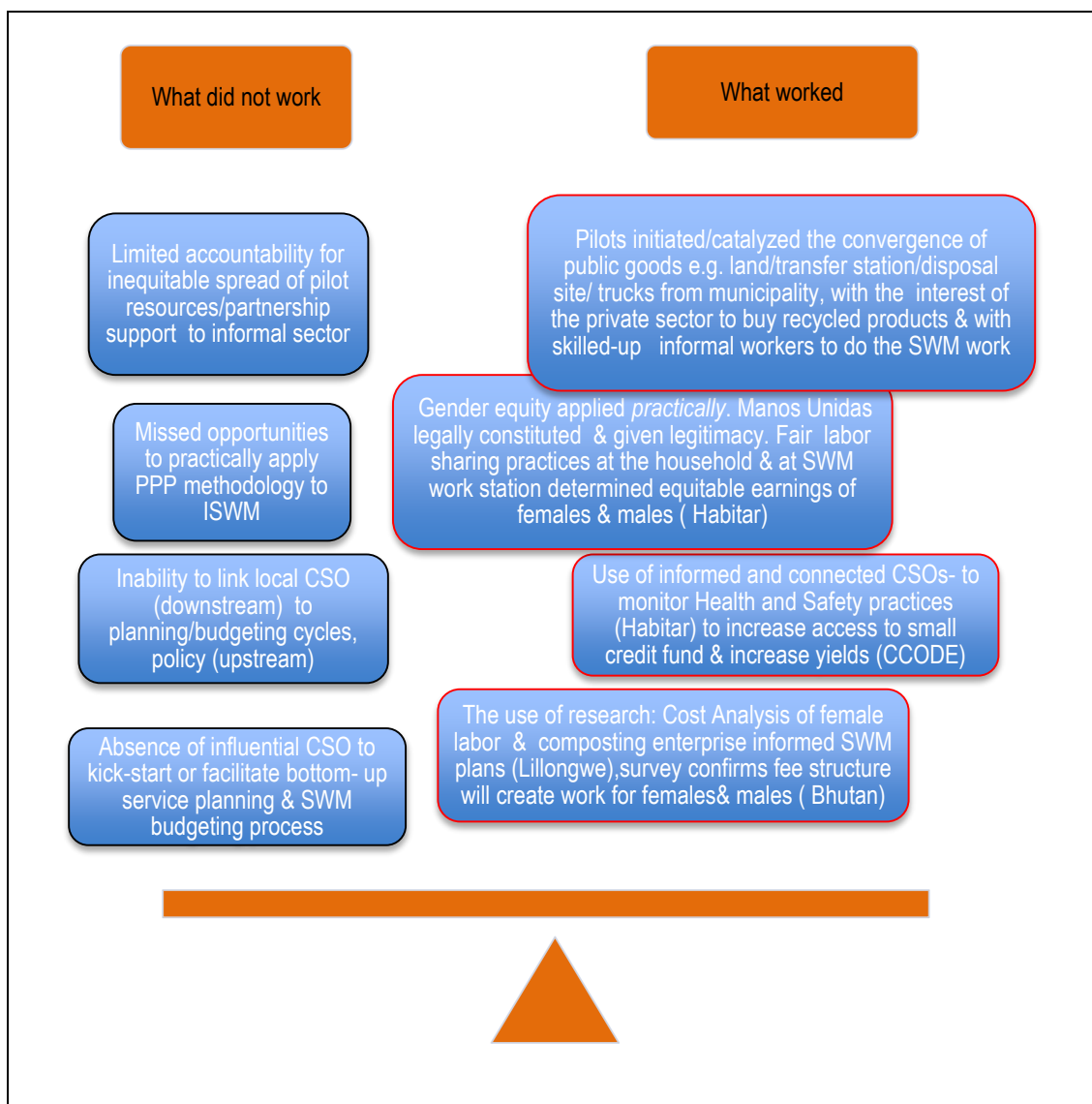
¹⁰² Switching Nicaragua: Switching Managua On’ Connecting informal settlements to the formal city through house collections, Vol. 25 # 1 April 2013, Maria Jose Zapata Campos and Patrik Zapata

¹⁰³ Questionnaire response, Habitar representative.

¹⁰⁴ non adherence of service routes by a different municipality governing ward.

¹⁰⁵ The figure has not been updated since the closure of the project in 2012.

Figure 2: Balancing the Pro Poor PPP Approach



Inclusive finance and financial access

58. WASTE has been tasked with the role of exploring alternative and innovative strategies to finance partnership activities in the field. With the exception of CCODE, when asked about inclusive finance practices, most pilots showed little or no progress on this aspect of the pilot programme and though a ventures strategy was supposed to be developed, this didn't materialize. As a result of CCODE's own project resources, an unverified number of women accessed the CSOs 'Mchenga Fund' for business purposes. One female cooperative member was recalled as buying equipment to make compost.
59. The above set of findings reveal a number of key issues. First, without concerted efforts to engage a CSO to empower women on financial literacy and business planning, the option of inclusive financing runs the risk of creating debt and losing sight of converging the 'public' with the 'private' component of the PPP-ISWM model. And second, in the four-year project period, the labor-intensive community mobilization process was unlikely to take off in some

pilot countries where the onus of attention was on building the capacities of the municipalities rather than the informal/business sector.

60. Feedback from Four Seasons¹⁰⁶ suggests that the approach used in Malawi was inappropriate to embed the PPP strategy as a sustainable option to ISWM. Once DGIS funds were expended, the government itself had no financial incentive to expand the provision of large trucks for waste collection in new areas. Therefore, even with the benefits of access to finance, if public sector plans to expand ISWM did not materialize, the women's clubs were unable to increase their yields of compost in areas where there was no transfer station.

Environmental health and ISWM services

61. The global programme houses some level of documentation on volumes of recycled waste produced and hectares of land cleared from Bhutan, Lesotho, Malawi, and Nicaragua. Of particular note, the Bhutan pilot has taken a step-by-step approach to address its project objectives. Results from its baseline survey confirm the ability and motivation of communities to pay for better hygiene conditions in their neighborhoods and maintain the frequency of sustainable waste collection. An end-line survey is due to be completed, generating specific data on target groups reached and livelihoods affected.¹⁰⁷ Along with quantitative estimates on sustainable waste management, the pilot has assisted the municipality to plan its long term strategy on ISWM. For instance, in 2012, 58-65 tons of mixed waste was removed, approximately 30 percent of beneficiaries in target areas received adequate services, 40 percent were underserved, and 30 percent received no service at all.
62. Newly emerged private sector entrepreneurs such as Greener Way, also benefit(ed) from the pilot's endeavor to use action research for SWM planning purposes. The company's ability to enter into the business of pet bottling and offer competitive prices to informal waste collectors (whom they pay better prices than at the "open" market) is partly due to its lease the TT PET crushing plant under a PPP contract with the municipality. The crushing plant has helped create a profit margin for Greener Way by increasing waste densities and lowering transport costs to India.¹⁰⁸ *"Besides being involved in the public service of creating a greener and cleaner Bhutan, we are also generating employment opportunities for our youth and currently we have 31 employees"* (Business Bhutan Magazine¹⁰⁹).
63. In Nepal, DGIS funds contributed to the construction of the waste bank operation in Janapath Public School. School children have reportedly imparted SWM knowledge to their family members. The Biratnagar Municipality counterpart interviewed in this evaluation has applauded the results but he remarked that attempts to replicate this venture forestalled because of a shortfall in funds. The following results from Nepal are noteworthy because they indicate the potential for ISWM replication in other areas.¹¹⁰ The BTOR report describes the provision of door-to-door waste collection services twice a day by the private sector vendor. Two waste bins have been distributed to 4,200 householders (66% of the costs borne by the Municipality, the remaining paid by households). The municipalities

¹⁰⁶ Four Seasons is the contractor used by Lilongwe Council to purchase compost of women's clubs set up by an NGO called CCODE.

¹⁰⁷ Waste training in Bhutan was merged with UNDP capacity assessment exercise, the process and results of which are captured in the Bhutan Case Study

¹⁰⁸ Final Case Study November 2012

¹⁰⁹ November 2011 Chief Executive Karma Yonten page 6.

¹¹⁰ The evaluation was not in a position to validate to what extent these results are attributable to DGIS funded programme.

have provided approximately 100 people with tricycles to regularly collect fees on a weekly basis.

64. A review of secondary data reveals that 81 female sweepers had been contracted through the Nepalese pilot, of which 46 were directly employed by the municipality (BSMC) formal contacts. 35 females were employed on a daily basis without a formal contract by the private sector vendor and without any social protection and labour guarantee.¹¹¹ An estimated 3% of the total households (1,200) and only a small proportion of industries and SME's are paying waste collection fees, suggesting that private sector viability remains very low and the probability of no contracts and low wages will remain for the near future.¹¹²
65. The findings from this section show a sharp contrast of pilot experiences and levels of performance in implementing a pro-poor PPP-ISWM model effectively. Attaining an ambitious set of results presented a challenge for a number of pilots compromised by a range of implementation processes and partnership approaches. In light of this information, the results achieved by a few pilots are all the more impressive. An analysis of results achieved is also covered in the next section to shed light on which processes and actions are likely to continue. At the global and regional levels, UNDP and WASTE has the opportunity to draw on a number of lessons on systems, technical partnership, policy support mechanisms, and piloting a multi-country initiative.

¹¹¹ Data extrapolated from BTOR Mission Report 27th May-8th June, 2011.

¹¹² Figures extracted from APRC BTOR Report, 2012.

SUSTAINABILITY

- How sustainable (or likely to be sustainable) are the outputs of the PPP-ISWM interventions?
- Have the interventions created capacities for sustained results?
- What is the level of ownership of the project by its UN partners, CSO partners and other stakeholders of relevant interventions?
- What could be done to strengthen sustainability?

Sustainability of outputs and the effects from capacity development support

1. A twenty day, desk based evaluation did not permit an adequate analysis of what functions and operations have been sustained across all six countries. The following findings only give a preliminary overview.
2. Of the six 'outputs' contained in the results framework, the effects of partnerships at the country level (output 3), is given particular attention because of its direct contribution to the sustainability of ISWM services. The rationale for evaluating the sustainability of other process-related outputs is less evident. For instance, an evaluation on the sustainability of the global-regional PPP-ISWM, and in a larger context the PPPSD, programme structure (output 1), the continued development of PPP-ISWM training materials (output 2), and issuance of financial packages to country projects (output 5), are all reliant on UNDP decisions to allocate additional funds at the regional/global level. Initial findings suggest UNDP global/regional offices are unlikely to systematically sustain these process-related outputs beyond 2013.
3. 50% of the municipalities PPP arrangements were targeted to remain operational beyond the end of the programme period. This figure is an ambitious result for a four year programme. Moreover, the results framework does not include the use of measurable indicators to help track progress towards sustainability (e.g. related to succession planning, drawing on the replication/scale-up capacities of other development partners, or assessing the scale-up capacities of municipalities)..
4. The scope and nature of this evaluation does not permit a thorough assessment of what PPP-ISWM functions have remained operational for each of the six countries. UNDP is advised to invest in an impact evaluation or country based evaluation to ascertain the necessary details. As a crude measure however, \ an estimated 33% of the country level project partnerships have remained actively and strategically connected to continue the work initiated by the pilots. For specific lesson learning purposes, the cases of Nicaragua and Bhutan are analysed below. In both cases, partners were vocal and specific about developing a common vision on the PPP-ISWM services to be provided and they shared a range of strategies, resources, and combined operational procedures to jointly scale up ISWM services.

Two pilot examples of active and strategic continuation of work

Nicaragua

5. In Nicaragua, the five year GISRES programme funded by the Inter-American Development Bank will expand ISWM services from one to three municipalities, targeting 80,000 poor people and drawing on its unique pro-poor experiences of working with cooperative members. Earlier in the report, the behavior changes in health and safety practices of cooperative members were cited as an outcome level change. These changes arose from a series of 18 neighborhood campaigns delivered by Habitar. The positive impact of the PPP-

ISWM approach continues beyond the project period *“users from targeted neighborhoods demand and pay for the differentiated service in approximately 8 of the routes attended by the Cooperative”*¹¹³ By comparison, the *“lack of ownership of the PPP pro-poor model by the Municipality.... has been a restrictive factor of the model itself”*.

6. A mid-way change in Municipality personnel strongly influenced the continued uptake of the mode. The enabling environment for honoring commitments, in-kind contributions or municipality budgets had sharply dropped and the pilot struggled to retrieve the momentum gained beforehand. In one project cycle, the pilot created ownership of the PPP-ISWM with one set of people and lost it with another. This example illustrates the complexities of maintaining ownership at the outcome level. The future design of a pilot or scale-up plan would benefit from a deeper understanding of the issues surrounding ‘ownership’, which is neither linear nor singular. A sharper look at the project assumptions underlying the change process, and a comprehensive and practical risk mitigation plan are equally important. All in all, Nicaragua’s experience is content-rich for pilot lesson learning purposes.

Bhutan

7. In Bhutan, the UNDP CO allocated up to 30,000 USD. The strategic use of these core resources with a multi-donor Bhutan Trust Fund enables the continuity of vital research on *utilizing* an efficient cost-recovery system tailored to Bhutan’s growing urban population.¹¹⁴ In addition, an evolving, yet methodical approach to ISWM service needs assessment and planning has contributed to embedding PPP-ISWM as one of the four pillar ‘key national result areas’ As a result of the PPP-ISWM, Bhutan will allocate revenues and government funds to provide ISWM services in targeted cities.
8. In addition to other changes, waste segregation and a collection system continue to operate in five targeted areas covering 400 buildings, benefitting 14,720 people and representing 4% of the total 9,500 serviceable buildings under the municipality.¹¹⁵ Two additional large transfer plants are being planned in line with the implementation of fair working terms and conditions for women. ISWM policy development leadership is evident through the continued and active involvement of *multiple* key change agents, such as the Mayor of Thimphu and the Head of the Ministry of Works and Settlement. In this case, the municipality staff themselves have contributed to building the critical mass necessary to leverage the pilot results. Thimphu Municipality planning cycles of several ministries are now informed about the possibilities of using electricity-based tariffs to recover costs for long-term ISWM services.
9. The Bhutan pilot is illuminating for a number of other reasons. First, it clearly demonstrates the positive effects from building functional and technical capacities of municipalities and the benefits of injecting a ‘sense of urgency,’ delivering quick wins and keeping people motivated. Secondly, the pilot phase has shown *how* it incorporated an understanding of power relations and ‘step-by-step sustainability’ into the design of PPPSD Capacity Development interventions. It further showed how a CO can capitalize from the regional unit PPPSD-KICG from and its capacity development and private sector expertise, *“PPPSD at APRC really helped us focus on capacities necessary for service provision and delivery [at the*

¹¹³ “Habitar questionnaire response August 2013

¹¹⁴ Consultant ToR being written up at time of evaluation.

¹¹⁵ Chubachu, Centenary Farmer’s Market, Ministers’ enclave, Changlam, Changjiji housing colony and Royal Bhutan Police colony “Partnerships for effective municipal service delivery” and up-scaling proposal titled “Scaling up PPP for sustainable waste management.

downstream level] with what system and procedures need to be in place to influence upstream work".¹¹⁶

Continuation of Income Generation

10. The evaluation found a total of 66% of country projects have contributed to ongoing income generation activities of waste pickers/recyclers post-project completion (Bhutan, Nicaragua, Malawi and Nepal). However, the extent to which income levels have increased and been sustained was not possible due to an inconsistency in monitoring data. Given the lesson learning contents from the following three cases, the following information lends particular attention to Malawi, Lesotho, and Nepal.

Malawi and Lesotho

11. In Malawi and Lesotho target groups of women entrepreneurs have continued to earn an income from the sale of recyclable waste, albeit reduced amounts and at a lower quality. During the pilot, the income benefits gained by women's clubs contributed to its membership growth from two to six clubs; an increase from 32 to 62 women cooperative members.¹¹⁷ An unverified number of women are reported to continue selling their compost bricks directly by the roadside in Mtandile and Blantyal, in Malawi. This positive effect materialized despite a series of mishaps including a break in contract with the Four Seasons Nursery and no formalized SWM policy to scale-up the collection of waste. In Mtandire, the Lilongwe City Council is reportedly implementing a slum-upgrading programme funded by the Bill and Melinda Gates Foundation.¹¹⁸
12. The Malawi pilot experience reveals the fragility of capacity development investments made during project period. Due to a complex inter-play of factors, the effects of a tariff setting assessment and the technical support on policy reform is unlikely to manifest as planned. A general loss of ownership for the pilot undermined the sustained gains from technical, policy, and planning capacity development support provided through the project. A short implementation period and uneven allocation of resources to target groups further limited the ability of women to internalize good business practices.¹¹⁹
13. Feedback from CCODE suggests limited market outlets after 2012, as well as incomplete business capacities of female entrepreneurs. This has meant that women have not moved past the use of ad-hoc business transactions, such as road-side sales and the poor quality of recyclable products.
14. As part of the capacity development plans in Lesotho, the installation and training on a Geographical Information System (GIS) at the department of Planning and Development continues to assist Maseru City Council in the coordination of waste collection. New WARDS and mapping-routes have been traced to coordinate the use of large waste collection trucks alongside the use of community-entrepreneur small waste collection carts designed to

¹¹⁶ Deputy Country Director, UNDP Bhutan.

¹¹⁷ Interview Notes, Former UN-Habitat CFP Malawi.

¹¹⁸ At the time of writing this evaluation, there was no indication that LCC was planning to link the work of the pilot with the slum upgrading initiative.

¹¹⁹ Data on income levels was not collected once the project had ended for this and other pilots.

access narrow roads.¹²⁰ Increased waste coverage had risen from 30% to 70% by the end of 2012.¹²¹

15. Maseru City Council representatives also made a point to highlight the value of new tender management skills learned through the WASTE 3R. Through the use of these new tendering skills, a consortium comprised of seven contractors won the two-year contract for street sweeping in an unverified number of neighborhoods¹²². Through the use of newly learned business advice (provided and funded by Malawi based CCODE- not DGIS), the contractors secured loans from a bank to purchase capital assets and are reportedly continuing to provide SWM service in the city.

Continuation of knowledge management services PPP-ISWM technical support at the regional level

16. UNDP and WASTE have designed useful operational website portals (output 6), creating the space and continued opportunity for PPP-ISWM knowledge products and training materials to be posted, commented-upon, and used by any UNDP country office and development agencies interested in ISWM. The number of portal hits has not been recorded in progress reports, although feedback from PPP-SD suggests the web portals are used.
17. Global country specific learning and areas of good practice are being written up by both WASTE and UNDP; the publication date is due in September 2013.
18. Hidden-costs absorbed at the regional level undermine the ability to cost sustainable ventures at the local level. For instance, a review of APRC documents clearly cites the benefits of drawing on regional missions to broker PPP important partnerships, build trust, and explain PPP-ISWM in practical terms at the country level in Nepal. At the same time, this type of input masked the hidden costs of supplementing workloads of CFPs who struggled to meet work requirements.¹²³

A case of compromise: Nepal

19. The effectiveness and coherence of plans for capacity development and sustainability varied across country projects and across stakeholders. In Nepal for example, the limited capacity and knowledge of the municipality to set tariffs, execute competitive tendering procedures, and enforce existing SWM systems continues to impede sustainability of the SWM.¹²⁴ services. Despite the efforts of a vocal female advocate and member of the PPP Committee, female waste pickers received little or no training or effective guidance from pilot resources and the national PPPUE programme team to strengthen their negotiation power as poor workers.
20. Unlike Malawi and Lesotho, there have been no attempts to link motivated but uninformed laborers to inclusive finance packages tailored to the needs of SWM workers. CSOs such as the female run Tole Lane Organisation (TLO), rely on volunteers to expand the collection of

¹²⁰ Income levels post project and the number of WARDS has not been recorded by the country project.

¹²¹ 'Waste for Wealth' Survey and findings. In addition, no data exists to reveal whether the coverage of SWM has been maintained since 2012.

¹²² 2011 Annual Progress Report states 13 sustainable waste providers were selected through the bidding process, interview with former CFP indicates seven contractors.

¹²³ Nepal: story of an institution, date UNDP KICG global publication 2010, and in BTOR report, KICG, APRC, 2012

¹²⁴ This includes the lack of knowledge of existing (national) legislation and weak understanding of the linkages with the Local Governance Act. "

user fees (which contributes to the payment of waster pickers). Yet, without knowledge on collection logistics and the exact delivery terms of sustainable wastecollection , their capacities have not been improved to increase the system of fee collections. TLO involvement has remained ad-hoc despite the implementation of the pilot and a ten year PPP-EU programming period.

21. At the private sector level the PO contracted by the municipality has not shown the necessary skills and capacity to improve business planning and logistics for waste collection, suppressing any potential for providing an efficient service line and further reducing the probability that Kabadis will receive a fair return for the work provided (i.e. Kabadis are the middle men buying waste from the waste pickers). At the time of evaluation, the Nepal project and stakeholders interviewed were unable to cite whether a plan of action would be put into place by BSMC /private sector or UNDP to improve the poor working condition of the waste pickers, some of whom were children. Plans were underway to work with micro-credit scheme under the new FINNISH funded programme targeting 65 entrepreneurs although that work has been halted by the Government of Nepal.
22. The findings from Nepal are concerning on a number of fronts:
 - a. UNDP Nepal has been unable to cite the concrete measures that were put in place to address the above mentioned shortfalls;
 - b. UNDP Nepal has lost track of maintaining a pro-poor agenda, either through direct partner facilitation and funds from DGIS or through collaboration with partners who are well placed to advocate on behalf of the waste pickers;
 - c. An MoU was signed between UNDP PPPUE and the Finnish Government in 2012. The large scale FINNISH funded PPP programme is being currently being implemented without any documented reference to the lessons or experiences from the pilot endeavour.
22. A growing body of research suggests that piloting is highly dependent upon credible and clearly documented evidence for replication and scaling-up. Without these basic measures in place, initiatives are at risk of undermining the quality of activities delivered and the type of results achieved. .
23. Some of the micro and macro level challenges facing the sustainability of PPP-ISWM, as expressed by interviewees themselves include:
 - a. The need for greater quality assurance mechanisms for recycled waste and giving the target group of poor females a greater chance of earning an income from good quality commodities (e.g. Malawi and Lesotho);
 - b. Proactive and systemic measures to mitigate the negative impact of monopolies, and an under-developed ISWM private sector, particularly with respect to fair terms and working conditions of the informal sector (e.g. Nepal and Malawi);
 - c. Practical and well informed contingencies to address the perennial problem of high staff turnover of government officials trained in PPP-ISWM (cited by 83% of country projects).

SECTION 5: CONCLUSIONS

1. The conclusive statements at the end of this section are based on the findings summarized under each of the evaluation criteria of relevance, process implementation, efficiency, effectiveness, partnerships, and sustainability.

RELEVANCE

2. The programme has added value to UNDP's knowledge of PPP-ISWM as a relevant, practical, and pivotal means of reaching MDG 1, 3, 7, and 8 at the country level. While all pilots focused on MDG 1, 7, and 8, 33% of pilots gave greater onus to gender equity in an attempt to deepen the effects created by PPP-ISWM approach.
3. Country projects were adapted in different ways ensuring relevance of the PPP-ISWM approach to the local context. 33% of pilots documented the process of adapting the PPP-ISWM approach to the country context, enabling those pilots to understand and effectively support the change process as it unfolded. Some pilots have profiled a stronger pro-poor partnership (e.g. Nicaragua), while others have shown a distinct 'collaborative capacities for partnerships' approach in their efforts to adapt to specific country contexts (e.g. Bhutan, Malawi, Lesotho, Nicaragua).
4. In general, global and country level partnership arrangements were highly relevant to the efficacy of the programme, with 33% of pilots able to adapt the pilot in conjunction with UN-Habitat. WASTE partner network members SURCO swiftly positioned projects at the grassroots level in at least two countries ensuring pilots effectively drew upon the community mobilization and women's leadership experience of CSOs.
5. A blend of factors influenced the performance of pilot projects to apply the global level objectives and PPP-ISWM approaches to specific country contexts. The need for a 4-6 month pre-implementation phase, leadership vision, the timing of a well prepared capacity development plan of action, and the competence and positioning of CFPs internal to UNDP all emerged as prominent aspects of the programme. UNDP's siloed approach to capacity development and programming continues to curtail the performance of innovative partnerships.
6. While arranging a one and half year extension period was useful for countries facing delays, it coincided with high UNDP staff turnover, breaking the continuity of regional knowledge management support, as well as limiting the relevance and coordination of technical assistance with WASTE.

IMPLEMENTATION PROCESS AND EFFICIENCY

7. In response to the question of the best use of resources and timeliness of results, the evaluation analysed available expenditure figures cumulative to 2011. Given UNDP's emphasis on process-oriented approaches, an analysis of costs and processes used in tandem with result attained exposed a number of factors affecting levels of efficiency.
8. Several cost efficiency calculations suggest that programme resources could have been used differently to achieve the results expected. At 10% of the programme costs, the programme has demonstrated the feasibility of applying the PPP-ISWM in six countries. With 33% of the costs incurred on establishing the PPP-ISWM intervention, the programme was unable to

demonstrate a) the sufficient design and use of an M&E system and, b) the ability to manage UNDP staff turnover without compromising on coordination and timing of technical and programmatic support provided at country level for two out of the three regions. UNDP and WASTE expended 17% of the total 2009-2011 costs on generating and sharing materials for knowledge management purposes. Questions remain whether this figure signifies value for money. One out of six country projects (Bhutan) generated a comprehensively written case study.

9. Almost a quarter of the budget (2009-2011) was allocated to in-country partner investment awards. In some cases, these awards have led to good quality results, although there are cases of uneven or non-strategic allocation of resources. Subsequent shortfalls have occurred in attaining results under outcome 2, 3, and 5. Findings suggest a reduction in income generation potential of the poor and vulnerable has occurred in an estimated 33% of pilots. Other pilot experiences reveal that lessons on optimizing funds to promote a pro-poor approach have yet to gain traction in UNDP case stories and fact sheets.
10. In general, the contractual arrangement between WASTE and UNDP worked well although further attention should be given to developing a stronger and more aligned M&E system across Technical support was generally well received and timely although WASTE also demonstrated shortfalls in its own M&E practices.

EFFECTIVENESS & PARTNERSHIPS

11. The programme design signified the vision to partner with WASTE, draw on UNDP's global reach, and simultaneously access the 'ear of change agents' at the local level. Lessons contained in the Pro Doc remain highly valid. However, a weak/ implicit understanding of what is both within and beyond the control of UNDP at the outcome level contributed to a loss of focus and inadequate follow-up work at the country level for some projects
12. The use of an M&E specialist at different points of the programme from design phase and indicator setting through to ensuring data-reliance measures, would have proved highly beneficial to UNDP and WASTE. The use of SMART indicators for gender equity and inclusion, policy support and uptake, and sustainability were missing. Indicators to track the progress and achievement of collaborative capacities would have equally helped set the tone and standard for all pilots, rather than a few high performing ones.
13. In addition, the identification and use of country-specific risk mitigation tactics, project assumptions, and lessons were missing for a significant proportion of pilot projects, at times directing efforts away from tracking of progress and level of achievement. Given the complexities behind any given pilot initiative where the exposure to risks and uncertainties are greater, the findings make the case for rethinking the manner in which UNDP draws upon internal capacities and external resources to ensure programmatic rigor of a multi-country pilot initiative.
14. Despite the above outlined shortfalls, the programme demonstrated an impressive set of results in a short period of time through a few targeted pilots. A total of 17,573 beneficiaries and potentially 28,282 people have reportedly benefited from the programme's contribution to ISWM service enhancement. More specifically, there have been:
 - improvements in income generation *"I now easily afford school fees for my children.*

*I also bought land and I am building a house*¹²⁵ ;

- Advancements in ISWM services *“cart men provide more personal and efficient service, they take the same route and directly collect fees at the point of service delivery, whereas before tax collectors visited the HH and residents didn’t always get a reliable service”*¹²⁶;
 - Measurable capacity increases to the scale-up of ISWM services in Thimpu. A waste segregation and collection system has been introduced in five targeted city locations, covering 400 buildings, benefitting 14,720 people and representing 4% of the total 9,500 serviceable buildings under the municipality. Early signs of success contributed to integrating PPP-ISWM into Bhutan’s medium to long term mandate on SWM services.
15. 83% of country projects have contributed to a change in the mind-set of government representatives from *“just outsourcing”* ISWM services, to partners valuable for solving problems together. A few pilots have the opportunity to focus on private sector viability helping UNDP to consolidate its knowledge and experience in this innovative, yet highly practical field, which has a direct impact on the lives and livelihoods of the poor.
16. For lesson learning purposes and performance accountability the findings urge greater attention to UNDP’s ability to follow-through on realistic policy support measures and reconsider the use of performance management principles for initiatives struggling to address issues of equity and efficacy.

SUSTAINABILITY

17. The effects of partnerships (output 3), was given particular attention because of its direct contribution to the sustainability of ISWM services at the country level. The sustainability of other process-related outputs is heavily reliant on UNDP’s priorities to mobilize resources at the regional/global level and therefore given relatively less attention in this section.
18. After closure of the DGIS funded programme, an estimated 33% of country level project partnerships have remained actively *and* strategically connected to continue the work initiated by the pilots. An estimated 66% of country projects contributed to the ongoing income generation activities of waste pickers/recyclers.
19. The Nicaragua pilot experience lends an interesting story on sustainability because it reveals the complexities of maintaining ownership at the outcome level. On the one hand, there is a passionate belief in the positive benefits of the model as vocalized by the CSO, the cooperative SWM members, and the Barrio householder paying for regular waste collection services. *“Users ... demand and pay for the differentiated service in approximately 8 of the routes attended by the Cooperative.”*¹²⁷
20. On the other hand, a loss of ownership and sharp reduction of support from newly elected council members significantly undermined the potential to sustain early gains. A five year GISRES programme funded by the Inter-American Development Bank will continue to expand ISWM services from one to three municipalities, targeting 80,000 poor people and drawing on the pilot’s unique pro-poor experiences. Nicaragua contributes an important

¹²⁵ Nora Baziwelo, female club member, Chalera village, Malawi

¹²⁶ Habitar representative, Nicaragua

¹²⁷ Quote taken from Habitar questionnaire response, August 2013

lesson on the need to adopt 'real-time' risk mitigation tactics to limit the damage incurred from a breach in contract and its experiences of coping with a mixed level of ownership.

21. In Bhutan, results are clearly evident for a sustained delivery of ISWM services. The prospect of a viable cost-recovery system and a mechanism to plan and budget for long-term services is now being institutionalized at a pace manageable by the government. The Bhutan pilot has shown the benefit of facilitating collaborative capacities to deliver quick wins to keep people inspired and focused. It demonstrates the positive effects of building functional and technical capacities of *targeted* 'change agents.' The Bhutan pilot contributes many valuable lessons including the ability to take a humble and realistic approach to understanding power relations and the change process- two extremely important realities for influencing continuity.
22. Other pilots reiterate the loss of impact from the pressure to work to compressed project timelines. In Malawi, output delivery generally ceased once DGIS funds ended, limiting the ability of motivated but poor women to optimize on business planning opportunities and reducing the private sectors viability to expand services. In Lesotho, the installation and training of a Geographical Information System (GIS) reportedly continues to assist Maseru City Council in its ISWM services.

FINAL CONCLUSIVE STATEMENTS

23. Effective delivery of services, particularly to the poor, is a key to success in the achievement of the MDGs. In recognition of the huge complexities surrounding decentralized public services, the PPPSD programme aimed to apply important lessons harnessed from the experiences of other projects. With this in mind, context is of paramount importance in assessing the achievement of the programme.
24. An ability to understand and systematically influence the change process and partnership relations underlies much of the country level pilot work at the outcome level. Evidence suggests a mixed performance in this regard; high performing pilots effectively drew on collaborative capacities of relevant partners to anchor the incremental changes in a way that was meaningful to those very partners. At the same time, implementation processes, programme arrangements and short-term thinking have curtailed the progress and achievement of some results.
25. Partnerships are only sustainable when partners share a common vision or a set of mutually beneficial goals. In this regard the programme has effectively shown the feasibility of contextualising the PPP-ISWM at the country level in three continents. For replication and future scale-up plans, UNDP will benefit from embracing programmatic rigor, organizational preparedness and a more robust approach to M&E into its operational modality, ultimately strengthening its claim to a comparative advantage and intent to sustain the early gains made in PPP-ISWM.

SECTION 6: RECOMMENDATIONS

RECOMMENDATIONS

The following recommendations are relevant to senior and middle level managers at the regional, global, and country levels. The recommendations are applicable to sustainable waste management, partnerships, and to other technical sectors.

1. Results-Based Management & Performance Management

1.1. Increase the use of M&E results-based budgeting.¹²⁸

Allocate a minimum of six percent of the total budget to cover the cost of

- developing a theory of change jointly with stakeholders, at the design phase and reviewed mid-way;
- designing and implementing a rigorous M&E system capable of generating disaggregated, reliable and valid data;
- designing and completing surveys and mid-term reviews;
- producing/adapting data-collection templates (qualitative and quantitative);
- improving data analysis and data management skills of relevant teams;

Invest adequately for global evaluations. Desk based meta-evaluation should take place *if* each country has completed an evaluation. Alternatively, lower expectations from a low-cost, globally executed and desk-based evaluation.

The UNDP 'ATLAS' software package is not a substitute for an M&E System. At the design phase of an intervention, seek highly qualified M&E technical advice about costing the M&E components cited above and avoid the tendency short-change the real cost of good M&E practices for piloting and programming.

1.3. Elevate UNDP team performances in outcome level programming.

Introduce performance measures for UNDP staff. Teams and individuals should demonstrate outcome-level programming knowledge and deliverables linked to programmes lasting a minimum of 3 years in duration.

As a minimum measure:

- use at least one indicator to signify the progress of gender equity work and an additional indicator to demonstrate the type and level of change in services/behavior/budgets/technical or functional capacities;
- use at least one indicator to signify the progress in improving the monitoring capacities of target groups (e.g. service monitoring by direct/indirect beneficiaries, monitoring of improved service planning/delivery by government officials); use at least one indicator

¹²⁸ If replicated, a global PPP-ISWM programme allocates a minimum of 6% at the global/regional levels and an additional, minimum amount of 6% at the country level. Agencies committed to their results-based philosophy continue to increase their M&E budgets to match the growing demand for reliable and valid data

to signify the *quality* and *level* of involvement of, or decisions made, by direct beneficiaries;¹²⁹ if policy work is relevant to the programme/project purpose, use at least one indicator to signify the progress of policy work done by UNDP/partner teams and an additional indicator to demonstrate the *level* of policy uptake.

1.3 Integrate performance-based disbursement with results-based reporting.

- Link the disbursement of funds with the production of quality-driven deliverables. In turn, link a key deliverable with *one* indicator at a time for each level of the results chain (i.e. output, outcome and if applicable, impact level).
- Deliverables can be process-driven but must be measurable at the output level. Deliverables must be *verifiable* at the outcome level (i.e. outcome-level observable changes in the actions of people who have been influenced by the delivery or achievement of outputs).
- If changes in environmental conditions are expected at the (country) outcome level, disbursement of funds should be based on presentation of hard data.¹³⁰

1.4. Provide incentives to evidence-based, high-performing pilots and create a culture of excellence. Use Multi-Donor Trust Funds or core UNDP funds to profile the pilot and its change agents (e.g. funds for social media, U-Tube, additional consultant time for writing up a high profile case study or knowledge product).

1.5 Improve the quality and reliance of data in progress reporting, fact sheets, and case stories to assist data-driven decision-making:

- use data visualization tools and techniques, Excel-based data dashboards, and/or simple Excel-indicator-based tracking sheets;¹³¹
- Cite both quantitative and qualitative data to validate claims of success and achievement of results;
- Draw in baseline survey data to report on targets achieved on a quarterly, biannual, or annual basis.

¹²⁹ Teams can develop a 'basket of indicators' to keep focus of pro-poor methods used in the interest of poor people themselves. The capacity of poor people to influence decisions on the services delivered to them is only one example.

¹³⁰ Refer to the guidance in the 'UNDP Handbook of Planning, Monitoring and Evaluation' 2010 to understand what SMART indicators are and how these should be developed and defined according to global M&E standards. Seek further guidance from UNDP regional offices and external agencies to find out more about data and measurement systems related to environmental changes. The development of SMART indicators requires the technical inputs of a person/people highly experienced in M&E, but this person does not have to be an M&E Specialist

¹³¹ Examples of a 'spider diagram' data dashboards can be found in Bhutan Capacity Assessment 'CA Sheets - Analysis TCC PPP-ISWM 15-12-2010' accessed through KICG, APRC Bangkok. Further guidance on data dashboards can be found through the American Evaluation Association website www.eval.org.

2. Multi-Disciplinary Performance & Collaborative Capacities

Deep institutional changes are necessary for UNDP to eliminate its use of the siloed approach. A more robust assessment at the different levels of UNDP is necessary to rectify the structures and systems surrounding the continued use of the siloed approach. Within the scope of this assignment, the evaluation makes the following recommendations.

2.1 Create the impetus for collaborative capacities internal and external to UNDP country teams and limit a siloed approach at the design and implementation phase.

Internal to UNDP

- **‘Map-Out’ Collaborative Capacities.** Internal to UNDP teams- map all cluster teams and focal points, be creative about how this map is designed and where it is posted for easy reference (e.g. physically in offices and virtually on e-systems).
- **Harness multi-disciplinary knowledge and skills. Find ways to** hold senior and middle managers accountable for fostering and efficiently facilitating highly focused, ‘multi-disciplinary’ knowledge-exchange¹³². The knowledge exchange creates a physical space for teams to collaborate with a clear objective and deliverable in mind:
 - multi-disciplinary knowledge-exchanges can be organised for different reasons including a) to draw gender, M&E and policy expertise together with technical teams and at critical points (e.g. design phase and when progress is slower than planned) and b) to ensure that at least two/three people are focused on checking the quality and rate of follow-through at the outcome level (in technical, policy and/or cross-cutting areas);
 - the techniques used and results harnessed from these ‘knowledge exchanges’ can be improved over time, through trial and error. If sharply focused and well prepared, knowledge exchanges should be short in duration (1-2 hours maximum), motivational, and results-oriented (i.e. instead of only process-oriented);

Ensure claims about ‘added-value’ from collaborative capacities materialize in concrete ways. When global and regional policy/advocacy support is factored into the costs of a global programme, demarcate the deliverable(s) expected from the global level.

External to UNDP

- **‘Map-Out’ Collaborative Capacities.** External to UNDP- ‘map out’ and circulate the range and type of partners and change agents necessary for achieving outcome level changes. The perspectives and experiences of the ISWM private sector should feed into and be informed by PPP–ISWM collaborative analysis. The ‘collaborative capacities map’ should be coherently aligned to a) the country programme results framework/UNDAF, b) the utility of capacity assessment plans, c) the decision to develop knowledge products, and d) the production of any fact sheets/case stories.

¹³² In this evaluation, senior managers include director level and P5 level individuals and middle level managers include P4 level advisers and focal points

Make use of social network techniques and contribution analysis tools such as 'relationship mapping' and 'outcome mapping' in order to identify and determine the type of collaborative capacities necessary to take forward¹³³:

- data-driven policy follow-up at the outcome level;
- evidence-based replication or scale-up of public sector services.

3. Piloting, Replication and Scale-up

3.1 Make use of lessons. In cases where well researched, articulated and relevant lessons have been documented in a global or regional design document:

- Request country teams to select which lessons will be applied to their country context.
- Lessons based on hard evidence are considered to be 'data-driven'. Use these lessons to guide or substantiate a) operational and programmatic decision-making, b) inform the production of knowledge products, and c) adjust resources expended on facilitating collaborative capacities.
- Monitor and analyze the utility of these lessons at the UNDP country office level.

3.2 Extend the planning cycle for piloting or a new initiative. Inject a 4-6 month pre-implementation phase prior to the full roll-out of the initiative and use the added time to:

- jointly chart the theory of change (ToC) with country-level partners to create collaboration for the change process;¹³⁴
- jointly identify a process indicator to signify the transition from pilot to replication and scale-up (but only if the programme timeline permits);
- thoroughly assess the risk of applying the National Implementation Model (NIM) in low capacity settings and/or in short project timelines. Substantiate the decision to forgo NIM based on the results from the risk assessment;
- Identify preliminary quality assurance measures for an M&E system and procurement procedures (based on the findings from NIM risk assessment).

4. Knowledge Management at UNDP Regional Level

The following set of recommendations is specific to regional centers tasked with facilitating knowledge management practices.

- Conduct a 'stock-take' of knowledge products. Disaggregate, monitor, and assess the utility of key knowledge products used at the country level. Use the evidence to make decisions on the allocation of human resources and funding.
- Invest in fewer but higher quality knowledge products, including fact sheets and case stories.
- The efficient retrieval of high quality practical products is more likely to motivate individuals to perform better. Copy a web-link onto fact-sheets for users to retrieve a sample of very high quality relevant materials (e.g. project document, survey

¹³³ Further guidance on 'Outcome Mapping' and 'relational mapping' can be found through www.outcomemapping.ca/resource/resource.php?id.

¹³⁴ DFID guidance is current and comprehensive: <https://www.gov.uk/.../dfid-research-review-of-the-use-of-theory-of-change>

report, cost-recovery strategy, data-driven quarterly progress report, capacity assessment plan, adapted PPP-ISWM model).

Capture unexpected/unintended pilot experiences and facilitate learning from higher and lower performing initiatives¹³⁵:

- from Nepal and Nicaragua- to understand the complexities of pursuing a pro-poor, gender informed partnership approach in integrated sustainable waste management;
- from Malawi and Nepal- to reveal the added-value of inclusive financial packages and business planning as well as the positive and unintended impact of the private sector;
- from Lesotho, Nepal, Nicaragua and Bhutan- to highlight what worked and what didn't work in UNDP efforts to allocate resources between direct beneficiaries (poorest section of population), and indirect beneficiaries (e.g. government officials and departments);
- from Bhutan and Nicaragua- to showcase how collaborative capacities have been effectively assessed, planned, and facilitated at the organizational and institutional levels.

5. Contracting with Partners and Service Providers

- Contract agreements between service providers and UNDP should be made available for evaluation purposes.
- In contract negotiations with technical service providers, be explicit about the scope and justifications for limiting or extending their involvement in country and regional level monitoring and commissioned evaluations.
- In contract agreements, specify communication and reporting protocols at the country office and regional level in order to avoid a conflict of interest (e.g. reporting inequitable practices and unclear resource expenditure).

¹³⁵ Successful pro-poor approaches from Nicaragua are already well documented. Capacity informed PPP in ISWM from Bhutan is also well documented by the UNDP Asia Pacific Regional Center in Bangkok

Annex 1- Interviewee List

Table 1: Contact list of stakeholders participating in the evaluation will be completed when all country focal points have submitted their lists.

COUNTRY PARTNERS	Name & Job Title	Male: M Female: F	Email/ Skype/Telephone
Bhutan			
Municipality	Mr. Geley Norbu, Chief Planning Officer, Ministry of Human Settlement and Planning Mr. Sonam Tashi, Project Support Officer, PPP-ISWM Ministry of Human Settlement and Planning	M M	geleynorbu@yahoo.co.in +975 2 322265/ 17161776/ 77470982 sonamtashi0@gmail.com +975 17474730
Private	Mr. Karma Yonten, CEO, Greener Way	M	greenerway@druknet.bt +975 2 337464
Lesotho & Peru			
CSO	-	-	-
Government	-	-	-
Private	-	-	-
Malawi			
Academia: Bunda College	Dr. David Mkwambisi, Head of Programs, (Lilongwe University of Agriculture and Natural Resources)	M	ddmkwambisi@gmail.com
CSO: CCODE	Ms. Tabbie Mnolo, Standing Representative Centre for Community Organisation and Development (CCODE)	F	Tabbie.mnolo@ccode.mw
Malawi Municipality Lilongwe City Council	Mr. McLawrence Mpasa, Director of Sanitation, Directorate of Sanitation Mr. Allan Kwanjana, PPP- ISWM Project Manager	M M	mgmpasa@live.com akwanjana@yahoo.co.uk
Private: Four Seasons Nurseries Ltd	Mr. John Sprowson, Managing Director	M	sprowson@broadbandmw.com
Nepal			
CSO: PPP Municipal Coordination Committee	Ms. Madhu Rai, PPPCommittee Member and advocate for waste pickers	F	mrai62@hotmail.com +977 9842022492
Municipality	Mr. Punam Dahal, Focal Person Biratnagar Sub-Metropolitan City Mr. Reshmi Pandey, Joint Secretary, Khatmandu Municipality	M M	punamkdahal@yahoo.com +977 9852022729 reshmipandey@hotmail.com +977 9851026225
Nicaragua			

CSO: Habitar Questionnaire Response Only	Ms. Ninette Morales, Directora Ejecutiva Mr. Héctor Delgado, Coordinador del Proyecto	F M	nmorales@habitarnicaragua.org Skype: ninemor49 2268-3136 hdelgado@invur.gob.ni Skype: hector.javier.delgado 8955-3334
WASTE TEAM			
Nicaragua	Ms. Lilliana Abarca	F	labarca@waste.nl Skype: labarca2403 +31638147502
	Ms. Anne Scheinberg	F	ascheinberg@waste.nl Skype: ascheinberg
	Mr. Jeroen Jgosse	M	-
UNDP TEAMS			
Country Focal Points and Representatives			
Bhutan	Mr. Tashi Dorji, Programme Officer	M	Tashi.dorji@undp.org Skype: tdorji3
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Nepal	Mr. Jorn Sorensen, Deputy Country Director Ms. Nabina Shrestha, PPP Officer	F	Nabina.Shrestha@undp.org Skype: Nabina.shrestha2 9779851037262
Nicaragua	Mr. Roger Pérez, Country Representative and Luz Habed	M F	roger.perez@undp.org luz habed@undp.org
Peru	<i>Mr. James Leslie (not interviewed)</i> <i>Mr. Jorge Alvarez (note interviewed)</i>	M M	Skype: Jorge.alvarez.lam
UNDP Global New York	Mr. Petrus VDPol, PPP-ISWM Global Programme Manager	M	Skype: peterpolsky
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Annex 2 COPY OF EVALUATION TOR'S

TERMS OF REFERENCE FOR INDIVIDUAL CONTRACT

POST TITLE:	Evaluation Specialist
AGENCY/PROJECT NAME:	UNDP KICG/PPPSD
COUNTRY OF ASSIGNMENT:	Home-based

1) GENERAL BACKGROUND

UNDP's capacity development priorities focus on scaling up national and local capacities for more sustainable and integrated development results, to address the Millennium Declaration, the Millennium Development Goals as well as the institutional framework for Sustainable Development to better integrate social, economic and ecological pillars. Sustainable Development demands capacities to engage multiple stakeholders and collaborate across sector, thematic, organizational and disciplinary boundaries in the pursuit of results. Public-Private Partnerships (PPPs) have proven remarkably successful in accelerating progress in service delivery, environmental management, poverty reduction, inclusive business and value chain programming – thus opening the way for subsequent learning and scaling up initiatives.

The Public-Private Partnerships for Service Delivery (PPPSD) programme was established by the former Capacity Development Group (currently the Knowledge, Innovation and Capacity Group – KICG) of BDP, UNDP. PPPSD is a multi-partner facility that developing countries use to obtain support in their efforts to define, promote and implement inclusive and sustainable Public Private Partnerships to reduce poverty at the local level.

The PPP-ISWM initiative is a 4-year global programme jointly implemented by the UNDP Public-Private Partnerships for Service Delivery (PPPSD) with the Dutch NGO WASTE, Advisers on Urban Environment and Development of the Netherlands.

The goal of the PPP-ISWM programme is to improve lives and livelihoods of poor people in developing countries/cities/municipalities, through improving the performance and sustainability of sustainable waste management systems. The approach for improving the performance is to support Municipalities to formulate, manage and implement inclusive and sustainable multi-stakeholders public private partnerships (PPPs) in Integrated Sustainable Waste Management (ISWM). The programme is implemented in six (6) cities in six (6) countries globally: Maseru (Lesotho); Lilongwe (Malawi); Thimphu (Bhutan); Biratnagar (Nepal); Managua (Nicaragua) and Arequipa (Peru).

A project evaluation will be conducted to assess the performance and achievements of the PPP-ISWM initiative in achieving its stated outputs over the period from August 2009 to date. The project evaluation will assess PPP-ISWM progress made towards output achievements and lessons learned over the 4-year project period.

2) OBJECTIVES OF THE ASSIGNMENT

Purpose

The project, which was designed in 2007 and commenced in 2009, will come to an end in July 2013, which includes almost a two-year project extension. The evaluation is commissioned as a donor requirement and as

per UNDP's evaluation rules and guidelines, and it is expected that the evaluation findings are based on an assessment of the results achieved, the challenges and opportunities encountered, the efficiency and effectiveness of the programme approach and strategies applied and the partnerships developed, including adjustments made during the implementation of the programme regarding the original outputs and overall outcome

The evaluation report and findings will be used by UNDP, its partner WASTE, UNDP country offices and DGIS and will be disseminated to relevant stakeholders including partner agencies.

Objectives

The overall objective of the evaluation is to assess the performance of PPP-ISWM programme in achieving the planned outputs using specific evaluation criteria (as per DGIS and UNDP guidelines) with a forward-looking approach. Specifically, this evaluation will assist UNDP in gaining a better understanding of the following aspects of its interventions:

- a) Determine the extent to which the planned outputs have been or are being achieved and assess the potential contribution to the intended outcome including the use of case studies as a tool to explain results and the mechanisms by which outputs lead to the achievement of the specified outcome
- b) Evaluate global, regional and country level changes made in the programme direction (and reasons for this)
- c) Determine to what extent the programme was complementary to/ or overlapping with ongoing UN agencies PPP and environmental management programmes
- d) Assess factors that facilitate and/or hinder the progress in achieving the outputs, both in terms of the external environment and those internal to the portfolio interventions including: weaknesses in design, management, human resource skills, and resources, collaboration between UNDP - WASTE
- e) Determine if and which programme processes e.g. strategic partnerships and linkages were/are critical in effectively achieving outputs
- f) Determine the strategic value of regional and global joint interventions in achieving the intended outputs and outcomes; strengths and weaknesses of this implementation modality
- g) Assess the quality, use of web portals (PPPSD, WASTE) and CoPs
- h) Determine lessons learned from the implementation of the activities under each output, as also evidenced by case studies (point e above)

3) SCOPE OF WORK

Programmatic scope

The evaluation will assess all aspects of the work that has been delivered by PPP-ISWM since 2009. This includes performance of delivering of the global as well as country level Pro Doc outputs.

The evaluation should also look at PPP (ISWM) interventions by other key national and regional actors and assess the extent to which UNDP/PPPSD and partners have built on each other's respective strengths to achieve the outcomes.

Time frame

The evaluation will cover the project implementation from August 2009 to June 2013.

Geographical coverage

The activities related to the Pro Doc and specific country level AWP's during the period of 2009-2013 have been undertaken in six (6) cities in six (6) countries globally: Maseru (Lesotho); Lilongwe (Malawi); Thimphu

(Bhutan); Biratnagar (Nepal); Managua (Nicaragua) and Arequipa (Peru).

Target groups and stakeholders

Target groups and stakeholders of UNDP interventions under the Pro Doc include, but not limited to national governments, municipalities, community based organisations, informal communities, global & regional networks related to PPPs and ISWM, research and academic institutions, and UN regional and country offices. During the inception period of the evaluation, the consultant will identify the sample of target groups/stakeholders to be reviewed in each country, regionally as well as globally.

Evaluation questions

The evaluation assesses the performance of the PPP-ISWM project implementation against the following criteria and seeks to answer the following questions:

Relevance

- To what extent and in which way has the PPP-ISWM country level project initiatives been relevant to the collective priorities of local level MDG acceleration notably MDG 1 and 7, targets 9, 10 and 11
- To what extent has the PPP-ISWM increased the knowledge related to partnership development, PPPs and built relevant (policy and programming) capacity in respective regions (e.g. Asia and the Pacific, Latin America, Africa) as well as globally?
- Has PPP-ISWM been able to adapt its programming to the changing context to address country level project priority needs?
- In this programme period, how have UNDP and WASTE positioned itself strategically and what are recommendations to further build upon? How have UNDP country offices and UNDP global and WASTE been communicating the achieved results?

Efficiency

- Has the Pro Doc and the outputs been delivered in a timely manner?
- Could the global, regional and/or local level activities and outputs have been delivered with fewer resources without reducing their quality and quantity?

Effectiveness

Outcome level:

- To what extent the planned outcome has been or is being achieved?
- Are the outcome indicators chosen sufficient to measure the outcomes? What other indicators can be suggested to measure these outcomes?

Output level:

- To what extent the planned outputs have been or are being achieved?
- What are the challenges to delivering the outputs? Distinguish global, regional and country level outputs.
- What are the factors that are adversely affecting the delivery of the outputs?
- Are the output indicators chosen sufficient to measure the outputs? What other indicators can be suggested to measure the outputs?
- Has UNDP and WASTE utilized its comparative advantage in deciding to deliver these planned outputs?
- To what extent the planned outputs contribute towards the achievement of the planned outcome and what are the evidences (case illustrations) to validate these claims?
- To what extent has the programme direction changed during programme implementation? To what extent did these were these changes effective?
- What are other outputs that UNDP, country offices and or WASTE should deliver given its strategic roles and comparative advantage that could contribute to the achievement of the outcome?

Sustainability

- How sustainable (or likely to be sustainable) are the outputs of the PPP-ISWM interventions?
- Have the interventions created capacities for sustained results? (case illustrations)
- What is the level of ownership of the project by its UN partners, CSO partners and other stakeholders of relevant interventions?
- What could be done to strengthen sustainability?

Partnership strategy

- Has UNDP's PPP-ISWM partnership strategy been appropriate and effective in achieving the outputs particularly these at the country level?
- To what extent the partnership models including the creation and facilitation of national and regional consortiums, network?
- Has the global PPP-ISWMN programme team effectively addressed country-level demands for advisory and technical support?

Methodology

Overall guidance on project evaluation methodology can be found in the UNDP *Handbook on Planning, Monitoring and Evaluating for Development Results*. More specific guidance on how to integrate gender dimensions throughout the evaluation process is provided in the United Nations Evaluation Group (UNEG) *Handbook on Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance*. Specific donor requirements apply and will be shared.

The Evaluation Specialist will determine the specific design and methods for the evaluation during the initial inception period. However, during the evaluation, the Evaluation Specialist is expected to use both qualitative and quantitative data collection methods as appropriated.

These include, but not limited to:

- Desk review of relevant documents (project document with amendments made, mid-term review, annual reports, donor-specific reporting, case studies etc.)
- Discussions (through telephone interviews) with focal points of all UNDP country offices involved in PPP-ISWM programming as well as with all national, project management, counterparts
- Regular consultations with UNDP/KICG/PPPSD and WASTE staff in Asia and the Pacific as well as in New York and the Netherlands
- Interviews with and participation of local level civil society and private sector partners and stakeholders
- Design, administration and reporting of questionnaires/surveys
- Case studies of relationships and results achieved with selected partners
- Evaluation ethics and confidentiality
- Key stakeholder meaningful participation in the evaluation process
- Gender consideration in the evaluation
- Study limitation

Evaluation ethics

Evaluations in the UN will be conducted in accordance with the principles outlined in both Norms and Standards for Evaluation in the UN System by the United Nations Evaluation Group (UNEG) and by the UNEG 'Ethical Guidelines for Evaluation'. These documents will be attached to the contract. The Evaluator is required to read the Norms and Standards and the guidelines and ensure a strict adherence to it, including establishing protocols to safeguard confidentiality of information obtained during the evaluation.

Selected documents to be studied by the evaluators

- UN agency strategic plans from 2008-2013 (e.g. the UNDP Asia-Pacific Regional Programme Document

2008-2011)

- PPP-ISWM programme document and the respective revisions from 2009
- Annual progress reports submitted to DGIS
- Communications, assessments, case studies, publications, write ups incl. these available at web portals and CoP networks at UNDP TeamWorks
- Other documents and materials related to the outputs (e.g. BTOR's of missions; reports of regional conferences)

4) DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

Duration: June-July 2013

Maximum working days: Evaluation Specialist (1 position, maximum 20 days)

Duty station: Home-based

5) FINAL PRODUCTS

The Evaluation Specialist is expected to produce the following deliverables:

- Evaluation Inception Report detailing the evaluator's understanding of what is being evaluated and why, showing how each evaluation question will be answered (which methodologies will be used), in a proposed schedule of tasks (evaluation matrix/framework). A presentation of the inception report will be virtually made to and discussed with an "Evaluation Management Team" to be established by UNDP/WASTE and possibly consisting of representatives of participating country offices and partner organisations
- Draft Evaluation Report to be shared with UNDP and WASTE and relevant stakeholders for feedback and quality assurance
- Virtual Evaluation debriefing meeting with UNDP, WASTE and key stakeholders where main findings will be presented
- Final Evaluation Report
- Evaluation Brief (a concise summary of the evaluation findings in plain language that can be widely circulated)

The final report is expected to cover findings with specific global, regional and country level lessons learned highlighting the impacts on national and local policy design/reform/implementation; the challenges of the different business models applied; and regional commonalities / differences that can be learned from.

The report will include the following contents:

- Executive summary
- Table of Content (including list of figures, textboxes, and pictures with acknowledgements)
- List of Acronyms
- Introduction
- Description of the evaluation methodology, including data collection methods, sampling, ethics (UNEG), gender aspects, respondent confidentiality, stakeholder participation in evaluation process, study limitation.
- Findings
 - An analysis of the situation with regard to the outcome, outputs and the partnership strategy
 - Analysis and critical review of (global, regional, country level) lessons learned and opportunities to provide guidance for the future programming based on best practices;
 - Illustrative cases from all countries

- Examples on the role of "Knowledge management", "Community of Practice" building and E-platforms.
- Critical review and conclusions
- Annexes: ToR, overview of organisations and people/organisations interviewed, reference list with all documents reviewed, example of data collection instruments, etc.
- Pictures, where applicable, could be included

6) PROVISION OF MONITORING AND PROGRESS CONTROLS

The consultant shall work under overall supervision of the KICG Policy Advisor with the support of the PPPSD programme specialist based in Asia and the Pacific and the Senior Advisor at WASTE, the Netherlands for the day-to-day management of the evaluation.

Time frame for the **Evaluation Specialist**(maximum 20 working days):

Time frame (delivery by)	Deliverables	Activities
June 2013	Evaluation Design, Inception Report and Presentation	<ul style="list-style-type: none"> • Desk review and preparation of evaluation design (home based) – 5 days • Briefing of evaluators by UNDP/KICG/PPPSD, WASTE and focal points from participating agencies – 1 day • Finalizing evaluation design, methods & inception report – 2 days • Sharing and discussion of inception report with the “Evaluation Management Team” for feedback – 1/2 days
First week of July 2013	Draft Evaluation Report and Presentation	<ul style="list-style-type: none"> • Stakeholder interactions through email, skype, interviews, up to 6 days • Preparation of draft report; presentation of draft findings to the Evaluation Management Team – 3 days • Meeting to present draft findings – 1/2 day
Last week of July 2013	Final Evaluation Report and Evaluation Brief	<ul style="list-style-type: none"> • Finalize and submit report (home based) and evaluation brief – 2 days

The **Evaluation Specialist** will perform the following tasks:

- Liaise with UNDP/KICG/PPPSD staff to organize meetings or telephone calls with stakeholders
- Develop and submit the inception report. Design the detailed evaluation scope and methodology (including the methods for data collection and analysis).
- Review documents, design and implement interviews and surveys.
- Conduct an analysis of the project (as per the scope of the evaluation described above).
- Present initial evaluation findings and collected feedback incl. specific lessons learned cases, regionally as well as from all countries.
- Develop and submit the draft evaluation report.
- Incorporate suggestions received on draft report with a view to overall quality and timely submission of the evaluation report to UNDP and WASTE.
- Finalize and submit the evaluation report, including case studies and other final products.

7) DEGREE OF EXPERTISE AND QUALIFICATIONS

The **Evaluation Specialist** will have the following competencies:

- Advanced university degree relevant disciplines (e.g. gender studies, social science, population studies, public health science, communication, MBA, sustainable development etc.)
- At least ten years of experience in programme evaluation and proven accomplishments in undertaking evaluation for international organizations, preferably including the UN
- At least ten years of sustainable working experience in the area of PPPs, local sustainable development and/or related issues specifically but not limited to the Asia-Pacific region, with preference on capacity development and multi-level stakeholder partnerships
- Expertise with and experience in working with capacity development and multi-level stakeholder partnerships (PPP programmes) would be an advantage
- Experience in conducting evaluations and leading sustainable development and environment projects with public and private sector in the development field and with international organizations, preferably in the area of sustainable development / partnerships and organisational development
- Excellent analytical and strategic thinking skills
- Excellent inter-personal, teamwork, and communication skills
- Excellent written and spoken English and presentational capacities
- Extensive knowledge of evaluation methods
- Knowledge of the political, cultural, and economic contexts of the Africa, Latin America and Asia-Pacific region

The evaluator must be independent and objective and, therefore, cannot have any prior involvement in design, implementation, decision-making or financing any of the UN interventions contributing to the PPP-ISWM outputs.

8) REVIEW TIME REQUIRED

Review/approval time required to review/approve outputs prior to authorizing payments

Time frame (delivery by)	Deliverables	Review time
June 2013	Evaluation Design, Inception Report and Presentation	• One week
First week of July 2013	Draft Evaluation Report and Presentation	• One week
End of July 2013	Final Evaluation Report and Evaluation Brief	• Two weeks

Annex 3 Evaluation Sub Questions

Evaluation Criteria & Evaluation Questions COPIED from the Evaluation ToR		Sub-Questions: targeting of questions shown in red, underline font
Relevance		
1. To what extent and in which way have the PPP-ISWM country level project initiatives been relevant to the collective priorities of local level MDG acceleration; notably MDG 1 and 7, targets 9, 10 and 11?	1.1 Has the PPP SWM model and country strategies a) been contextualised in each of the 6 countries and b) found to be relevant for contributing to local level MDG 1,7,9,10,11?	<u>UNDP Global/Regional, WASTE</u>
2. To what extent has the PPP-ISWM increased the knowledge related to partnership development, PPPs and built relevant (policy and programming) capacity in respective regions (e.g. Asia and the Pacific, Latin America, Africa), as well as globally?	2.1 What aspects of technical assistance & knowledge provided by WASTE and UNDP were relevant in each of the 6 countries, as well as at the regional and global level for: 2.2 partnerships (new or existing) 2.3 policy development 2.4 capacity development	<u>Partners, UNDP Global/Regional, WASTE, CFP</u>
3. Has PPP-ISWM been able to adapt its programming to the changing context in order to address country level project priority needs?	3.1 Were risk mitigation tasks adequately identified and implemented to address country level priority needs? 3.2 What processes led to the identification and/or adjustment of change indicators during the course of the intervention for each country? 3.3 What, if any, adjustments were made in consideration of a) the extension period, b) challenges in facilitating PPPs at country level c) capacity fluctuations in municipalities?	<u>UNDP Global/Regional, CFP</u> <u>UNDP Global/Regional, WASTE, CFP</u>

Evaluation Criteria & Evaluation Questions COPIED from the Evaluation ToR	Sub-Questions: targeting of questions shown in red, underline font
4 In this programme period, how have UNDP and WASTE positioned themselves strategically and what are recommendations to further build upon? How have UNDP country offices and UNDP global and WASTE been communicating the achieved results?	<p>4.1 Does the design of the programme adequately address the complexities of managing a global programme (including problem analysis, results chain)? <u>WASTE, UNDP Global/Regional, CFP</u></p> <p>4.2 How relevant and appropriate is the modus operandi (modality) of UNDP and WASTE for supporting global/regional and country level PPP-ISWM interventions? <u>WASTE, UNDP Global/Regional</u></p> <p>4.3 What, if any, strategic value has been provided to global and regional joint interventions by UNDP and how has this influenced overall performance levels of CFPs? <u>WASTE, UNDP Global/Regional/CFP</u></p>
Effectiveness	
Outcome level: 5. To what extent have planned outcomes been or are being achieved?	<p>5.1 What are the global and regional results?</p> <p>5.2 What is the level of causality between activities, outputs and outcomes?</p> <p>5.3 Have country level and regional level results contributed to global results?</p> <p>5.4 Is there evidence that piloting or upstream policy work has led to performance or behavioral changes at the institutional/ organizational level and/or the enabling environment?</p> <p>5.5 What level of collaboration has been built upon with other national and regional actors to contribute to outcome levels changes? <u>WASTE, UNDP Global/Regional/CFP</u></p> <p>5.6 Is there evidence to demonstrate that UNDP/PPPSD and partners have worked to each other strengths to contribute to outcome level changes? <u>Partners, WASTE, UNDP Global/Regional</u></p>

Evaluation Criteria & Evaluation Questions COPIED from the Evaluation ToR	Sub-Questions: targeting of questions shown in red, underline font
<p>6. Are the outcome indicators that were chosen sufficient to measure the outcomes?</p> <p>What other indicators can be suggested to measure these outcomes?</p>	<p>6.1 Have outcome level indicators been identified and defined through the use of good M&E practices? <u>WASTE, UNDP Global/Regional</u></p> <p>6.2 What processes, if any, led to the identification and/or adjustment of outcome indicators during the course of the intervention? <u>WASTE, UNDP Global/Regional</u></p> <p>6.3 What indicators do service users, service providers and/or municipalities consider necessary for sustainable waste management? <u>Partners, Users/Labourers</u></p>
<p>Output level</p> <p>7. To what extent have the planned outputs previously been or are being achieved?</p>	<p>7.1 Are output definitions adequate and appropriate to verify and/or measure output level changes?</p> <p>7.2 What verifiable capacity improvements have occurred to achieve (or progress towards) planned outputs? <u>WASTE, CFP</u></p> <p>7.3 What benefits have service users, service providers and municipalities claimed from PPPISWM interventions? <u>Partners, Users/Laborers, WASTE, CFP</u></p>
<p>8 What are the challenges to delivering the outputs? Distinguish global, regional and country level outputs.</p>	<p>8.1 Cross reference with Q4. What factors have supported and adversely affected the performance of UNDP, WASTE and implementing partners to deliver planned outputs (<u>WASTE, UNDP all</u>) at:</p> <ul style="list-style-type: none"> • global; • regional ; • and country level?
<p>9. What are the factors that are adversely affecting the delivery of the outputs?</p>	<p>9.1 Duplicate question to 8.</p>
<p>10. Has UNDP and WASTE utilized its comparative advantage in deciding to deliver these planned outputs?</p>	<p>10.1 What evidence exists to support the claim of ‘comparative advantage’ within a) UNDP and b) WASTE and their respective contribution to PPP ISWM results? <u>WASTE, UNDP all</u></p> <p>10.2 What comparative advantages were not utilized to an optimal level and why? <u>WASTE, Partners, UNDP</u></p>

Evaluation Criteria & Evaluation Questions COPIED from the Evaluation ToR	Sub-Questions: targeting of questions shown in red, underline font
11. To what extent do the planned outputs contribute towards the achievement of the planned outcome and what are the evidences (case illustrations) to validate these claims?	<p>11.1 Covered under sub-question 5.2 and 7.1</p> <p>11.2 To what extent are PPP ISWM case stories a reliable and valid source of evidence for a) claims towards results and b) learning lessons from PPPISWM experiences? a) <u>WASTE</u>, b) <u>CFP, Partners</u></p>
12. To what extent has the programme direction changed during programme implementation? To what extent these were these changes effective?	<p>12.1 Partially covered by sub-question 6.2 and 8.1</p> <p>12.2 What programmatic/operational aspects have changed during the implementation phase, and what were the reasons for these changes? <u>WASTE, UNDP all</u></p> <p>12.3 What benefits have been realized by service users, service providers and municipalities? <u>Partner/Users</u></p>
14. "What are other outputs that UNDP, country offices and or WASTE should be able to deliver given their strategic roles and comparative advantage that could contribute to the achievement of the outcome"?	14.1 Duplicate question, covered under 3.1 & 10.2
Efficiency	
15 "Has the Pro Doc and the outputs been delivered in a timely manner?"	<p>15.1 What factors enabled and constrained the timely and effective delivery of activities and results by the various stakeholders concerned, with particular reference to <u>(Partners, WASTE, CFP)</u>:</p> <p>15.2 organisational and institutional level capacities;</p> <p>15.3 adequacy of technical support and knowledge?</p>
16. "Could the global, regional and/or local level activities and outputs have been delivered with fewer resources without reducing their quality and quantity?"	16.1 How adequate was the funding and resources provided for the timely delivery of results in line with good management practices? <u>Partners, UNDP regional WASTE</u>

Evaluation Criteria & Evaluation Questions COPIED from the Evaluation ToR	Sub-Questions: targeting of questions shown in red, underline font
Sustainability	
17. "How sustainable (or likely to be sustainable) are the outputs of the PPP-ISWM interventions?"	<p>17.1 Are results definitions on 'sustainability outputs' defined in a way that can be verified/measured?</p> <p>17.2 What type of outputs do representatives of municipalities and service provider staff perceive as sustainable? (cross reference with 19.1)? <u>Partners</u></p> <p>17.3 What factors reinforced or hindered the opportunity to sustain PPP-ISWM approach, once UNDP/DGIS/WASTE support ends? <u>Partners, CFP, WASTE</u></p>
18. "Have the interventions created capacities for sustained results? (case illustrations)"	<p>18.1 What <i>evidence</i> exists regarding relevant PPP-ISWM capacity <i>improvements</i> of municipalities and partners? <u>Partners, CFP</u></p>
19. "What is the level of ownership of the project by its UN partners, CSO partners and other stakeholders of relevant interventions?"	<p>19.1 To what extent has the municipality incorporated PPP- ISWM components/innovations into their planning, coordination, budgeting and policy development practices? <u>Partners</u></p> <p>19.2 To what extent has the private sector incorporated good practices or lessons derived from PPP-ISWM initiatives? <u>Partners</u></p>
20. "What could be done to strengthen sustainability?"	<p>20.1 What 'sustainability factors' do stakeholders perceive as important (for scale-up, replication, incremental and/or improvement for the sustainability)? <u>Partners</u></p> <p>20.2 What factors have constrained the scale-up, replication and/or incremental improvement of pilots/initiatives? <u>Partners, CFP, WASTE</u></p>
Partnership Strategy	

Evaluation Criteria & Evaluation Questions COPIED from the Evaluation ToR	Sub-Questions: targeting of questions shown in red, underline font
21. "Has UNDP's PPP-ISWM partnership strategy been appropriate and effective in achieving the outputs, particularly those at the country level"?	21.1 What were/are the critical factors affecting the quality and efficacy of partnerships and coordination at country level? <u>Partners, CFP, WASTE</u>
22. "To what extent have the partnership models, included the creation and facilitation of national and regional consortiums, network?"	22.1 What were/are the critical factors affecting the efficacy of partnerships and network support provided at the regional level? <u>Partners (or networks at regional level), WASTE, UNDP Regional</u>
23. "Has the global PPP-ISWMN programme team effectively addressed country-level demands for advisory and technical support?"	23.1 Cross-reference with 10.1, 15.3, 16.1 23.2 What it the level of satisfaction of Country Focal Points with the responsiveness of advise and technical support provided by PPP-ISWMN? <u>CFP</u>

Annex 4 Evaluation Data Tool # 2

Notes For Country Focal Point

1. Legend: Y= yes N=No or N/A= Not Applicable P= Partial
2. **If you write a 'yes':** insert a footnote and write the exact name of document (e.g. title/date of by-law passed; title/date of the policy changed as a direct result of giving advise/guidance; the title/date of municipality budget/plan containing PPPISWM components; title/date of survey or study on direct beneficiaries & environmental status)
3. **If you write 'partial':** Do not write an explanation or narrative on why the result it partially achieved. This information can be found in other documents. But, you can write the exact title/date of the document that contains the policy, product or service which is currently being updated though PPPISWM
4. **If you write a 'no' or N/A:** there is no need to write additional information.

Baseline or Survey conducted	Policy reformed or enforced	Status of Law changed	Service Provider Regulation/ quality assurance actually <i>used</i>	PPP ISWM Incorporated into municipality plans, budget or system	Country Level a) CSO/NGOs b) Networks & Association	Livelihoods, working conditions of workers changed	Healthier environment in target area
Bhutan Planned							
Y	N	Y	P	Y	N	Y	Y
Bhutan Actual							
Y ¹³⁶	N	Y ¹³⁷	P	Y ¹³⁸	N	p ¹³⁹	Y ¹⁴⁰
Nepal Planned							
Y	N	N	Y	?	?	Y	Y
Nepal Actual							

¹³⁶ Household survey of the pilot project area conducted and report published titled "Household survey on waste management in PPP-ISWM pilot project area in Thimphu, April 2011".

¹³⁷ Waste Prevention and Management Regulation 2012, adopted by the government and started enforcement from 18th of April 2012. The legislation has created space and legitimacy for PPP-ISWM, and enabled the municipality to exercise leadership on the national stage. Retrieved from www.nec.gov.bt

¹³⁸ PPP-ISWM incorporated into the Framework to Mainstreaming Environment, Climate Change and poverty (ECP) concerns into the Eleventh Five Year Plan (2013-2018), 2012 retrieved from <http://www.undp.org.bt/ECPM-Framework.htm>

¹³⁹ Endline being conducted at the time of the evaluation, newspaper article verifies livelihood improvements

¹⁴⁰ The pilot waste segregation and collection system introduced in five targeted areas of – Chubachu, Centenary Farmer's Market, Ministers' enclave, Changlam, Changjiji housing colony and Royal Bhutan Police colony covering 400 buildings (benefitting 14,720 people) represent 4% of the total 9,500 serviceable buildings under the municipality. Reflected in the case study titled "Partnerships for effective municipal service delivery" and up-scaling proposal titled "Scaling up PPP for sustainable waste management".

Public Private Partnerships: Integrated Sustainable Waste Management Global Evaluation
2009-2012

Y	Y ¹⁴¹	-	N ¹⁴²	?	?	80 ¹⁴³	?
Malawi Planned							
Y	Y	Y	Y	Y	Y	Y	Y
Malawi Actual							
Y ¹⁴⁴	Y ¹⁴⁵	Y ¹⁴⁶	N	P ¹⁴⁷	Y ¹⁴⁸	Y ¹⁴⁹	Y ¹⁵⁰
Lesotho & Peru Planned & Actual not submitted							
Nicaragua Planned							
Y	N	N/A	Y	Y	Y(b)	Y	Y
Nicaragua Actual							
Y ¹⁵¹	N/A	N/A	Y ¹⁵²	Y ¹⁵³	Y(b) ¹⁵⁴	P ¹⁵⁵	P ¹⁵⁶ (target2,000)

¹⁴¹ Contributed to 'Amendment of Waste Policy' but copy of policy inaccessible

¹⁴² Guidance prepared however there is no data available to demonstrate it's use and whether it influenced improved regulation of waste management services

¹⁴³ A claim of 80 workers from excluded group, however no source/survey material available to verify or substantiate this result. The result is questionable.

¹⁴⁴ Baseline Report on Waste Management in Mtandire and Area 25, January 2009, David Mkwambisi and Monipher Musasa

¹⁴⁵ Lilongwe City Council Solid Waste Management Policy, 10 November 2012

¹⁴⁶ Lilongwe City Council Solid Waste Management Bylaws, 10 November 2012

¹⁴⁷ Time not adequate to get hold of the city council budget. I suggest you can cover this during your interview with the city council next week.

¹⁴⁸ Minutes of Tripartite Review Meetings

¹⁴⁹ Waste for Wealth Completion Report, 13 May 2013, Sunday Times 2 September 2012 'EnviroTalk', The Nation 11 September 2012 'Development'

¹⁵⁰ See footnote above

¹⁵¹ Línea de base del funcionamiento del Centro de Transferencia de Residuos Sólidos Barrio Grenada, Distrito 5, Managua. February 2011. / Informe Final. Sistematización del proceso de consolidación de la Cooperativa Manos Unidas en el marco del Proyecto Alianza para el Manejo de los Desechos Sólidos en el Municipio de Managua. November 2010. / Memoria del proceso de consulta para la validación del Sistema Alternativo de Recolección de Residuos Sólidos (SARDS), ofertado por la Cooperativa Manos Unidas. July 2010. / Memoria del proceso de consulta para el diseño de Estación de Transferencia para el Distrito V de la Ciudad de Managua. March 2010.

¹⁵² UTUBE and 'Switching Managua On! Customer Satisfaction Feedback, Study on Quality of Life for Cooperative Members

¹⁵³ Acuerdo de colaboración entre la Alcaldía de Managua y la Cooperativa Manos Unidas R.L. para el manejo de los residuos sólidos en el Distrito Cinco del Municipio de Managua. April 2012.

¹⁵⁴ Informe de sistematización. Establecimiento de condiciones para una Alianza Público-Privada, Sensibilización a Usuarios del Sistema Alternativo de Recolección Domiciliar de Residuos Sólidos (APP-SARDS), Operación, Monitoreo y Evaluación del Sistema y Difusión del Conocimiento Generado. August 2011. / Informe Final. Sistematización del proceso de consolidación de la Cooperativa Manos Unidas en el marco del Proyecto Alianza para el Manejo de los Desechos Sólidos en el Municipio de Managua. November 2010. / Acta Constitutiva Cooperativa de Carretoneros Manos Unidas R.L. December 2009.

¹⁵⁵ Estudio de medición de calidad de vida a miembros de la Cooperativa "Manos Unidas". December 2011

¹⁵⁶ Estudio de medición de calidad de vida a miembros de la Cooperativa "Manos Unidas". December 2011

Annex 5 List of Partners and Institutional Links

Partners

1. In Nepal: Ministry Of Local Development and Federal Affairs, Biratnagar Sub Metropolitan City, Municipal PPP coordination committee, Private Sector company, Tole Lane Groups, national and local federation of chamber of commerce, informal waste sweepers (approx.. 60), Kabadi recycling individuals, groups
2. In Bhutan: Ministry of Works and Human Settlement, National Environment Commission, Thimphu Tromde, Greener Way, NGO Society of Protection of Nature,
3. In Malawi: UNHabitat, Lilongwe City Council, University of Malawi (Bunda College of Agriculture, Four Seasons Nurseries Limited and two NGO's: Centre for Community Development and sustainable waste Management)
4. In Lesotho: Masery City Council, National Environment Secretariat (NES), Patriot Vision in action (PAVA)
5. In Nicaragua: Municipality of Arequipa, three associations of recyclers, (Nuovo Mundo, Recicla Vida, A. Pro.Mat Recila)
6. In Peru: Manague Municipality (ALMA), Habitar, Center for Housing Studies and Promotions (Centro de Estudios y Promotion para el Habitar) community based micro enterprises for waste collection Cooperative Marios Unidas, neighbourhood communal organizations, UNHabitat

Institutional Links

1. At the 18th and 19th UN Commission of Sustainable Development
2. Asia 3R Regional Forums in Singapore, Bangkok, Vietnam and Korea and including the 5th Asia Pacific Urban Forum and the PPP Pacific roundtable in Fiji with participation of 10 country governments
3. UN events on Localizing MDGs such as in Chiapas Mexico and the MDG review Summit
4. RIO+20 Partnership Forum (in collaboration with UNDESA, ECOWAS and with
5. UNWomen, UNESCAP, UNEP, IAGU, AFD, UNDP Gender Team
6. Global forums of IPLA, CWG and ISWA that UNDP/WASTE
7. UNDP Global and Regional Capacity Development Learning Week
8. Association of Municipalities in the Netherlands (VNG)

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